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AUTHOR Geizer, Bernard P., Ed.
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ABSTRACT

This report presents the results of an evaluation of New York State's Division for Youth (DFY) rehabilitation programs, which range from secure facilities to residential homes. The goals of the evaluation were to assess the level of expenditures for facility operation and use, to determine the scope of programs and the extent to which they meet the needs of youth, and to examine the organizational and administrative framework for assessing program management and implementation. Following the executive summary, the background of the programs is presented, and data on DFY expenditures and facility utilization are reviewed; projected expenditures are provided. DFY programs are described, including education programs (secure/non-community based, and community based), vocational education and employment programs, health and counseling services, and programs for handicapped youths. The organization and management of DFY programs are discussed focusing on program strategies from 1976 through 1981, organizational problems (e.g., duplication of functions), central office operations, ongoing program reviews and recommendations, and the regional structure for the management of secure facilites. Chapter summaries are provided for each of the four main areas. The appendices include: a list of those interviewed and contacted for the evaluation; table showing the mean years behind grade level in reading and math for DFY program participants; tables showing DFY vocational education and employment funding by source, 1978-1982--community based employment programs and residential facilty vocational education programs; organizational charts of DFY rehabilitation operations and office procedures; and copies of the correspondence between the DFY and the legislative committee concerning the program audit. (MCF)

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Program Audit
October 1982

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Management of Youth Rehabilitation Programs

Program Audit
October 1982

SUMMARY AND CONCLUSIONS

The New York State Division for Youth (DFY) is responsibile for administering a complex multi-dimensional program of rehabilitative services to youths living in residential facilities throughout the State. These residences range from secure facilities with highly controlled environments to residential homes that allow more access to the community and its services.

LCER's evaluation of DFY's residential rehabilitation programs included:

--Review of facility expenditures and utilization;

--Documentation of the scope of services provided to youths and measures of the extent to which youths are making progress as a result of program exposure; and

--An evaluation of the administrative and organization framework designed and implemented by DFY to manage its facility operations.

LCER also sought to determine if exposure to different types of DFY programs (broadly defined as non-community and community based) is a factor in the incidence of criminal recidivism and affects youths' post-DFY employment and school experiences. The results of this follow-up study are referenced in this report and presented in detail in a companion study titled, Impact of Youth Rehabilitation Programs.

Expenditures and Utilization

Total DFY expenditures for Rehabilitation Services increased 44.5 percent from 1978 to 1980. Major factors accounting for this increase include:

--Significantly increased utilization of secure and non-community based facilities and

--Underutilization of community based facilities.

Facility Utilization

From 1978 to 1980, on-grounds expenditures at secure facilities increased 31.7 percent--from $6.9 million in 1979 to $9.1 million in 1980. This corresponds to a 49.3 percent increase in the secure facility population during the period January 1, 1978 to January 1, 1981. In terms of facility expenditures, DFY's secure centers are the most expensive to operate, and such centers have become increasingly more expensive. For example, the average per diem rate (the cost of maintaining a child for one day) at secure facilities was $161 in 1980 compared to $128 in 1979--an increase of 25.8 percent. On a yearly basis, it cost approximately $59,000 in 1980 to maintain a youth at a secure facility compared to approximately $47,000 in 1979.

When compared to the other facilities in different security levels, secure facilities had the highest per diem rates, except for Youth Development Centers (YDCs) in 1980. These higher YDC rates resulted from a utilization of only 57.0 percent. In 1979,

average utilization of YDCs and secure facilities was more comparable--83.6 and 85.9 percent, respectively. In 1979 per diems were 12.3 percent higher at secure facilities than at YDCs.

Lower utilization at community based facilities corresponds to the decrease in DFY's community based population--reflecting the shift from community based to secure programming within DFY. The community based facility population decreased 31.6 percent over the period 1978 to 1981 (actual count as of January 1, 1981).

Combined facility utilization at YDCs, urban Short Term Adolescent Residential Treatment Centers (STARTs), and urban homes in 1979 averaged 71.6 percent, compared to 65.1 percent in 1981.

Secure Facility Capacity

Because of changes in the juvenile justice system and laws mandating placement of Juvenile Offenders (JOs) in secure facilities, DFY's capacity at secure facilities has been strained--even though total capacity at these facilities has increased dramatically over the past few years. In February 1980 DFY was operating five secure facilities. As of January 1, 1982 there were nine. The "secure" population increased from 138 in 1978 to 347 as of January 1, 1982--an increase of 152 percent. DFY's JO population as of January 1, 1982 stood at 293.

Utilization and Program Impact

With DFY's shift to non-community based facilities, it is important to consider whether this more expensive rehabilitation programming has improved youths' prospects for "success" after leaving DFY. In its follow-up study, LCER compared youths' successes in terms of criminal history, school status, and employment experience.

This study, involving 771 youths, compared youths with similar background characteristics and different lengths of stay in DFY's secure and non-community and community based facilities. Background characteristics significantly account for the degree of risk a youth poses to the community. The results of the study show that, with the exception of certain secure (Level I) facility placements, confinement of youths with similar background characteristics in non-community based and community based facilities yields similar results. This evidence warrants the following conclusions:

--Where no significant differences are found relative to youths' criminal histories after leaving DFY, there also appear to be no significant differences in the degrees of risk posed by youths placed in secure and non-community based facilities, compared to those of youths placed in community based facilities.

--Given the higher costs associated with the more secure non-community based facilities, DFY's allocation of a higher proportion of its resources to non-community based facilities does not appear to have had a corresponding impact on success in reducing the risk of future criminal activity or improving the prospects of success in school and employment.

--DFY's system of classifying its facilities by "level" serves no useful purpose (except for secure facilities for youths with prior felonies) either in terms of the degree of risk youths pose to the community during their period of residence or in affecting the behavior of youths after their release.

As noted in the companion report, Impact of Youth Rehabilitation Programs, resolution of these issues is dependent on an evaluation of DFY's programs and policies with respect to its use of different levels of residential care. Some of the important factors that should be taken into account are appropriateness of placements, the relevance of program services for the "types" of youths assigned to the respective levels of residential facilities, and the effectiveness of DFY's shift from a community based to a more secure institutional program environment for a significant segment of its residential youth population.

Rehabilitation Programming

DFY's system of classifying its residential facilities by levels (I-VII) is intended to denote degrees of security and types of rehabilitation programs available at those facilities. These levels are also grouped into two broader categories: secure and non-community based (I-IV) and community based (V-VII).

Types of Programs

In secure and non-community based facilities youths obtain rehabilitative services on-site; community resources are used by youths residing in Level V-VII facilities. While the facility levels do describe the degrees of security at the respective facilities, it is difficult to determine differences in the types of program services available to youths with the exception of the broadest distinction: secure/non-community based and community based. This lack of program distinction is important. According to DFY, each level is intended to serve the program needs of a particular "type" of youth. An elaborate system has been implemented by DFY to classify youths by their program needs and to place them within the programs that the facility levels are presumed to denote. However, in the absence of clearly defined treatment methods within each level, DFY's classification and placement procedures, except for security purposes, are somewhat meaningless.

While DFY's Office of Program Services has been designated as responsible for developing programs and setting standards, programming decisions are taking place at other levels, including the regions and facilities, as well. Program development responsibility in DFY is fragmented and dispersed, and, as a result, programs at facilities develop at random--not by a formula.

Program Evaluation

The problems associated with establishing different types of treatment methods by level may result from DFY's failure to undertake a systematic evaluation of its programs. With few exceptions evaluations have occurred at the discretion of individual program managers, and have focused on individual program segments (job readiness, employment, etc.). The agency has not defined the "treatments" that should occur at each facility level, and youths' placements have been dictated by available bed space and security needs, rather than by the appropriateness of program services available.

Program Services

DFY's rehabilitation efforts have been directed at improving the education, vocational and employment skills of youths as well as providing those youths with counseling and medical services. LCER's evaluation focused on those program segments for which data could be obtained and that would provide some measures of youths' progress after program participation, including education, vocational training and employment programs.

Educational Remediation

In addition to its regular academic program, DFY has implemented remedial education services funded by the federal Title I program in reading and mathematics. Recent cutbacks in federal funding for these programs have virtually eliminated such programs within the community based facilities, but DFY continues to provide these services within facilities at Levels I through IV.

The need for remedial education is readily apparent. On average, DFY youths are considerably behind grade levels in both reading and math. The problems appear to be most acute for youths in the non-community based facilities.

Opportunities for Participation. Opportunities to participate in remedial programs depend on the facility in which a youth is placed. For example, while 53 youths at

Masten Park with a mathematics deficiency of 5.1 (mean) years behind grade level were not in a remedial program, 25 youths at Auburn, 2.8 (mean) years behind grade level in math, were enrolled in the program during the 1980-81 school year. This pattern is reflected throughout the system. Each facility provides academic remediation to those with the greatest need. Consequently, many youths with severe academic deficiencies do not receive remedial assistance because the facility in which they are placed has youths with even greater deficiencies.

Remedial Assistance and Progress. Remedial programs do appear to assist youths in achieving improved academic competence:

--Using pre/posttest data for grade equivalents, LCER found that 82.9 percent of 135 youths enrolled in Title I programs showed posttest improvements in reading; 74.8 percent of 131 youths made progress in mathematics;

--Using a ten percentile system for determining anticipated increases in grade equivalency after participation in Title I remedial programs for the sample of youths referenced above, LCER found that 51 percent of the participants in both reading and math showed improvement at or above the expected level of ten percent for every month of program participation.

Community Based Education. A high percentage of youths within DFY's community based facilities are attending school. Out of 441 youths at urban homes and YDCs for whom data were available, 85.9 percent attended school either full-time (76.6 percent) or part-time (9.3 percent) during the 1980-81 school year.

Youths placed in community based facilities also have significant deficiencies in math and reading. Remedial programs administered by DFY in the community based facilities are limited and only available at the YDCs. It is not known how many youths in community based schools are enrolled in Title I remedial programs.

However, LCER did find important indications that youths in DFY's community facilities are making academic progress:

--A total of 150 out of 265 youths within community based facilities, who attended school during the 1980-81 school year, completed the grade attended.

--Approximately 41 percent of youths older than 16 years, living in community based facilities, earned their general equivalency degree (GED) or high school diploma.

Vocational Training/Employment

DFY emphasizes skill development and job readiness in its vocational training and employment programs.

Program Effects. Based on tests administered by DFY, the programs at the non-community based facilities have been useful in improving both the job-seeking skills and attitudes of youths in those facilities.

Program Participation. As of March 31, 1981 total enrollment in non-community based vocational skills and training programs was 1,067, including dual enrollments by an undetermined number of youths.

LCER also found a high incidence of participation in vocational training and employment programs among youths in community based facilities. Sixty percent of youths in YDCs and 52 percent of those in urban homes participated in these kinds of programs during the 1980-81 school year. In addition 47.9 percent of community based youths were employed at the time of LCER's survey--July 1981.

Organization and Management

From 1976 to 1981, DFY initiated reorganizations that included establishing a regional administrative management structure in 1976 and subsequently changing central office functions and patterns of organization. While these changes were intended to

enhance DFY's ability to manage and supervise its residential facilities there have been a number of negative "side-effects":

--Duplication in the functions of and conflicts in responsibilities among central office, regional and facility staffs;

--Lack of direction and management control relative to facility management;

--Development of central office monitoring and review functions in place of increased staffing within the regions to improve management and supervision of facility operations.

Duplication and Conflict

Problems related to duplication and conflict among central office staff and regional personnel have developed as a result of DFY's failure to clearly define responsibilities and to develop procedures and directives to control central office staff in their relations with DFY residential facilities. These problems are largely the result of DFY's dual management structure--central and regional systems for managing and supervising facility operations. Central office units are involved, in varying degrees, in program monitoring, supervision and implementation of programs at the facilities. The end result is that these central office operations duplicate functions assigned to regional and district DFY staffs.

Management Direction and Control

In part, functional duplication and conflict in responsibilities can be ascribed to the absence of management direction and procedures prescribing the functions of central staff and the manner in which these functions should be carried out in relation to the regions and the facilities' roles.

Central office staff units operate with considerable discretionary authority and autonomy--particularly in their functional relationship with regional and district personnel and facility staff. There are no established standards to guide the respective central office units in their responsibilities or procedures to control how these staff units interact with one another and with regional, district and facility personnel. The following are the kinds of problems that have resulted:

--Central office program staff giving supervisory direction to facility personnel;

--Problems identified at facilities not routinely brought to the attention of the responsible regional or district staff;

--Facility visits and regional meetings for facility staff that bypass the appropriate regional or district staff; and

--Concentration of facility visits by central office staff in facilities in Region III--approximately 57 percent of such visits in 1981. Only 24.5 percent of 1980 youth admissions were within that region.

Central Control

In many respects DFY's management problems appear to result from an ambivalence toward the regional concept of facility supervision and management. That DFY has never made a commitment to a regional system is evidenced not only by the monitoring and review functions performed by central office staff (and corresponding staffing patterns) but also by an apparent lack of confidence in the regions' abilities to manage critical problem areas within these regions. The most striking evidence of DFY's reluctance to complete regionalization was its decision to centralize the management of the secure (Level I) facilities. This decision resulted in the establishment of staff within the central office that at least parallel, if not duplicate, functions within the regions. Secure facilities are rapidly becoming the largest single program segment in DFY. DFY's rationale for centralizing secure facility functions does not withstand scrutiny (see pages 59-61).

Conclusions

DFY has developed and implemented an array of rehabilitative services at its residential youth facilities. However, program development has taken place within a management structure where considerable autonomy exists among program units. The result is confusion over program roles and responsibilities, duplication of effort and conflict in facility management and programs. These problems, in turn, have had a negative affect on DFY's ability to clearly define the kinds of rehabilitative services provided at facilities of different levels. The shift from community based to more secure facilities reflects this: increased cost of services without equivalent increments in benefits. DFY will continue to respond to pressures for different types of treatment programs until it has clearly defined its program objectives and has developed the means of evaluating the effectiveness of its various approaches to youth rehabilitation.

Findings for Comment by the New York State Division For Youth

Chapter 58 of the Laws of 1980 requires heads of audited agencies to report within 180 days of receipt of the final program audit to the Chairman of the Legislative Commission on Expenditure Review and the Chairmen and the Ranking Minority Members of the Senate Finance Committee and the Assembly Ways and Means Committee on what steps have been taken in response to findings and where no steps were taken, the reason why.

1. There has been a proportionate increase in the use of secure and non-community based facilities over the period 1978 through 1981, even though the referral offenses (felonies and misdemeanors) of youths in DFY's care remained relatively constant over this period. (pp. 6, 7, 8)

2. Based upon LCER's study of a group of 771 youths with different DFY residential experiences, it does not appear that DFY's residential level system makes any significant difference as measured by post-DFY experiences of youths' criminal behavior and employment and educational achievements. (pp. 18, 19 and LCER program evaluation, Impact of Youth Rehabilitation Programs)

3. DFY has not developed program models at individual facilities related to the types of youths intended to be served at those facilities. The problems associated with establishing different types of treatment methods by level may result from DFY's failure to undertake a systematic evaluation of its programs. (pp. 20, 21)

4. Opportunities to participate in Title I remedial math and/or reading programs by DFY youths vary among the facilities. As a consequence many youths are not enrolled in a remedial program even though their test results reflect greater deficiencies in these subjects compared to youths in other facilities who are enrolled in the program. (pp. 23, 24)

5. DFY has not mandated that facilities use posttesting using norm referenced tests to measure the progress of youths in remedial math and reading. Consequently little use has been made of test data for evaluation purposes. (pp. 25, 26)

6. DFY has failed to define the function of Program Services staff units-- particularly with respect to their programmatic relationship to the facilities. As a result, Program Services staff operate as independent and autonomous units, and relations and responsibilities between the central staff units and facilities vary. This tends to undermine the integrity of the regional structure with respect to

program implementation and supervision of facilities and to diffuse responsibility and, thereby, make it difficult to define accountability. While DFY has developed material to clarify the roles and responsibilities of Program Services staff units, these materials fall short of clarifying responsibilities in relation to procedural issues. There are no specific procedures regarding contacts with facilities and the manner in which communcation and coordination are to be effected. (pp. 49, 50, 51, 52, 54)

7. The Program Assistance and Review unit has not fuifilled its role to undertake agency wide program reviews. Rather, this unit performs functions that duplicate those performed by other DFY staff, including in-depth facility reviews of issues routinely addressed by DFY regional/district staff and Program Services personnel. (pp. 54, 55, 56, 57)

8. DFY has not established formal procedures to ensure effective communications of central staff involvement with facilities. The absence of procedures to ensure effective communication leads to contradictory directions and problems in the development and implementation of programs. (pp. 53, 54)

9. There is little evidence of overall planning within the agency in monitoring the frequency of central staff visits to facilities. Of the visits to facilities by Program Services staff during 1981, 57.7 percent were within Region III-- whereas slightly more than 37 percent of the facility population was in that region as of June 1, 1981. (p. 53)

10. DFY stressed the need for a regional structure to manage its residential facilities and as a long range strategy to integrate rehabilitation services and local assistance programs. However, there is evidence that DFY is not fulfilling its commitment to a regional management system and has moved to recentralize functions and bypass the regional organization. (pp. 57, 58, 59, 60, 61)

11. DFY's rationale for centralizing the management of secure facilities is based more on accommodating the division's movements to recentralize facility management than because of any problem resulting from the expansion of the secure facilties program. (pp. 57, 58, 59, 60, 61)

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FOREWORD

The Legislative Commission on Expenditure Review was established by Chapter 176 of the Laws of 1969 as a permanent legislative agency for among other duties, "the purpose of determining whether any such department or agency has efficiently and effectively expended the funds appropriated by the Legislature for specific programs and whether such departments or agencies have failed to fulfill the legislative intent, purpose and authorization." This program audit, Management of Youth Rehabilitation Programs is the one-hundreth staff report.

The New York State Division for Youth (DFY) is responsible for administering youth rehabilitation services programs through State residential facilities as mandated by Section 501 of the Executive Law. DFY provides a variety of rehabilitative services for youths at these facilities including education, health, counseling and vocational training.

A number of issues are addressed in the audit concerning the management of DFY's residential facilities. Of particular concern is the duplication of functions, conflicting sources of authority, and lack of control and standards for central office operations that impact on DFY's regional management system to administer facility operations. Other issues addressed include the increase in per diem costs at community based facilities due to underutilization, the absence of clear distinctions in rehabilitation programs by type of facility and the lack of meaningful evaluation activities.

We note our appreciation for the cooperation extended to us by DFY staff.

For each of the audits, a uniform procedure is followed. After the preliminary draft is completed, copies are delivered to the State agencies involved in carrying out the legislative policies under review. DFY's reply is contained in Appendix F and LCER's rebuttal is in Appendix G.

In accordance with Commission policy, this report focuses on factual analysis and evaluation. Recommendations and program proposals are not presented since they are in the realm of policymaking and therefore the prerogative of the Legislature.

This audit was conducted by Gerald Keyes, Chairman, John Coleman, Frank Jackman, David Rowell, Ted Sobel and Stacy VanDevere. Bernard Geizer served as general editor while James Haag handled layout and production. Word processing and graphic services were provided by Ann Careccia. Overall supervision was the responsibility of the Director.

The Commission is interested in hearing from the readers of its audits. Any comments or suggestions should be sent to the Director at the address listed on the inside front cover of the audit.

The law mandates that the Chairmanship of the Legislative Commission on Expenditure Review alternate in successive years between the Chairman, Senate Finance Committee and the Chairman, Assembly Ways and Means Committee. Assemblyman Arthur J. Kremer is Chairman for 1982 and Senator John J. Marchi is Vice Chairman.

October 29, 1982

Sanford E. Russell
Director

I BACKGROUND

The New York State Division for Youth (DFY) has responsibility for the administration of State training schools and related facilities for youths committed to its care as mandated by Section 501 of the Executive Law wherein it is stipulated that DFY is:

--To operate and maintain the state training schools and related facilities for the reception and care of juvenile delinquents. The division shall see that the purposes of such institutions are carried into effect, and to that end shall have all necessary powers.

--To establish, operate and maintain programs and services alternative to state training schools for persons in need of supervision and juvenile delinquents placed with the division, and for persons referred to the division pursuant to section five hundred two of this article. Such services shall include but not be limited to urban homes, group homes, family foster care placements, youth development centers, day services and rural based facilities, within amounts appropriated therefore. The division may contract with political subdivisions of the state, agencies thereof or supported thereby, not-for-profit associations, institutions or agencies concerned with youth, for the operation and maintenance of such programs and services.

DFY programs authorized by Section 501 are referred to as rehabilitative services.

Audit Objectives

This audit was undertaken by LCER to determine the following:

--Level of expenditures for facility operations and facility utilization;

--The scope of program services provided to youths at facilities and the extent to which such programs are serving the needs of youths committed to DFY care; and

--The organizational and administrative framework designed by DFY to develop programs and manage its facility operations and the extent to which this framework achieved effective program management and implementation.

Categories of Youths

DFY has responsibility for youths who are referred primarily from the Family Court and the criminal (county) court. Such youths are committed to the care of DFY with different status designations. These designations include the following:

--Juvenile Delinquent (JD),

--Restricted JD,

--Person In Need of Supervision (PINS),

--Juvenile Offender (JO),

--Youthful Offender (YO).

JDs, PINs and Restricted JDs are referred from the Family Courts. JOs and YOs are referred from the criminal (county) courts--the latter receiving the status designation in criminal court and referred to Family Court prior to being remanded to the care of DFY.

The age level, degree of culpability, appropriate statutory reference and court of referral by the respective status designations are summarized in Exhibit I.

Placement and Transfer Procedures

As noted above, the division admits youths to its residential programs primarily from the Family Court or the criminal court. If placement is primarily from the Family Court, the Family Court must immediately notify the division of its intention.[1] Upon such notification the division determines the State institution in which the child should be placed based upon an evaluation of that child (placement papers are delivered to the division which help in such evaluation--Section 519, Executive Law). During the intake period the Youth Service Team (YST) worker is required to complete a Problem Oriented Service Plan (POSP)--a treatment development form initiated in 1979. The YST worker also must interview each youth prior to a DFY facility or program placement. A summary of stipulations governing DFY placements and transfers for the respective youth status designations appears in Exhibit II.

Program Level System

DFY has classified its residential facilities by level of security and type of program. The location of DFY facilities and their designation as secure, non-community based and community based are reflected on Map 1. The list of facilities, as well as their capacity and location, are indexed to the map. The classifications consist of two broad categories: (1) secure and non-community based facilities and (2) community based facilities. Within these categories each facility is designated by level: I through VII.

The extent to which the respective levels of facility (I-VII) can be characterized by the status designation of the youth population at each level is shown in Table 1. While the population as of 1980 within secure facilities (Level I) was almost exclusively JOs and Restricted JDs, and primarily JDs within Level II (limited secure), the population among the other five levels is mixed.

The distinguishing characteristics of each of the levels (I-VII), according to DFY's definitions, are summarized below. Basically DFY differentiates among the levels more in terms of the degree of security rather than the types of programs (rehabilitative services) provided at the respective levels.

Secure and Non-community Based Facilities (I-IV)

Secure (Level I) and non-community based (Levels II-IV) are characterized by emphasis on security, including control over the behavior and physical movement of youths, and the fact that rehabilitation services are provided on-site.

Exhibit I

Status Designations of Youth by Age, Culpability, Statutory Reference and Referral Source

Status Designation	Age	Degree of Culpability	Statutory Reference	Court of Referral
Juvenile Delinquent	Over 7 Under 16	Not criminally responsible by reason of infancy.	Family Court Act, Section 712(a).	Family Court.
Person In Need of Supervision	Male: under 16 Female: under 18	Incorrigible, ungovernable or habitually disobedient and beyond the lawful control of parents or other lawful authority.	Family Court Act, Section 712(b).	Family Court.
Restricted Juvenile Delinquent	Over 7 Under 16	Not criminally responsible by reason of infancy.	Family Court Act, Section 753-a.	Family Court.
Juvenile Offender	13	Criminally responsible for acts constituting murder in the second degree.	Penal Law, Article 10.	Criminal (County) Court.
	14 and 15	Criminally responsible for specified crimes.	Penal Law, Article 10.	
Youthful Offender	16-19	Relieve youths of the onus of a criminal record.	Criminal Procedure Law, Section 720.20.	Criminal (County) Court to Family Court.

Source: LCER staff from McKinney's Consolidated Laws of New York Annotated.

Exhibit II

Status Designation of Youth by Placement and Transfer Stipulations

Status Designation	Placement Stipulations	Statutory References	Transfer Stipulations	Statutory References
Juvenile Delinquent	Secure facility or in a non-secure facility during first 60 days in DFY or	Family Court Act, Section 756(1).	Transfer within 60 days to a secure facility requires a hearing.	Executive Law, Section 515-a(3).
	School or center or	Family Court Act, Section 756(2).	Transfer to a secure facility requires a hearing to determine if the youth committed an exceptionally dangerous act.	Executive Law, Section 515-a(3).
	Youth Center.	Family Court Act, Section 756(3).	No transfer to a secure facility permitted.	Family Court Act, Section 756-3.
Person In Need of Supervision	Youth Center.	Family Court Act Section 756(3).	No transfer to a secure facility permitted.	Family Court Act, Section 756-3.
Restricted Juvenile Delinquent	Five years in DFY for Class A felony conviction (12-18 months in a secure facility) or Three years in DFY for all other crimes (six-12 months in a secure facility).	Family Court Act, Section 753-a.	Pursuant to regulations established by restrictive placement committee.	Executive Law, Section 516.
Youthful Offender	Conditional on sentencing.	Penal Law, Section 60.02.		
Juvenile Offender	All time in DFY must be in a secure facility--length of sentence is indeterminate as being dependent on the specific offense.	Penal Law, Section 70.05.	Transfer to Department of Correctional Services if between the ages of 16-18 years with permission of sentencing court.	Executive Law, Section 515-b(4).
			At DFY's discretion if between ages of 18-21 years if "no substantial likelihood that the youth will benefit from program offered by the division's facilities."	Executive Law, Section 515-b(5).

Source: LCER staff from McKinney's Consolidated Laws of New York Annotated.

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MAP 1

NEW YORK STATE

DIVISION FOR YOUTH

FACILITIES AND OFFICES

Source: Division for Youth

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Table 1

Distribution of Youth in DFY Residential Facilities
by Level and Status Designations
1980 Admissions

	Residential Level																
	Secure		Non-Community Based						Community Based						Cooperative/ Voluntary/ Alternative Placement		
	Level I		Level II		Level III		Level IV		Level V		Level VI		Level VII		Level VIII		
Status Designation	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%	Total
Juvenile Offender	84	94.4	3	3.4	--	--	1	1.1	--	--	1	1.1	--	--	--	--	89
Restrictive Juvenile Delinquent	20	60.6	6	18.2	--	--	--	--	2	6.1	2	6.1	2	6.1	1	3.0	33
Juvenile Delinquent	15	1.1	358	26.5	8	0.6	212	15.7	67	5.0	239	17.7	144	10.7	309	22.9	1,352
Youthful Offender	--	--	--	--	--	--	31	39.2	2	2.5	31	39.2	13	16.5	2	2.5	79
Criminal Finding	--	--	--	--	--	--	1	33.3	--	--	2	66.7	--	--	--	--	3
Adjourned Contemplating Dismissal	--	--	1	4.0	2	8.0	4	16.0	--	--	7	28.0	10	40.0	1	4.0	25
PINS	--	--	1	0.2	9	2.0	40	9.1	34	7.7	140	31.8	162	36.8	54	12.3	440
Other	--	--	--	--	--	--	1	11.1	--	--	5	55.6	2	22.2	1	11.1	9
None	2	1.1	3	1.6	--	--	3	1.6	16	8.7	104	56.2	50	27.0	7	3.8	185
Total	121		372		19		293		121		531		383		375		2,215

Source: LCER analysis of DFY data.

Secure Centers-(Level I). This level of facility is described as having the most intensive level of security.

Limited Secure-(Level II). Security is an important consideration and is intended to restrict access to the community. However, physical security arrangements are less intensive than at Level I.

Special Residential Centers-(Level III). Physical security is intended to limit access to the community. These centers are designed to provide specialized educational and clinical programming for troubled youths.

Residential Centers-(Level IV). This DFY residential facility level is the least restrictive of the secure and non-community based programs.

Community Based Facilities (V-VII)

The distinguishing characteristic of the community based facilities is that youths, with some exceptions, generally obtain services that are available in the community.

Youth Development Centers (YDCs) (Level V). Close supervision is exercised over youths in residence at the YDCs. Rehabilitation services are obtained through a combination of YDC facility staff and community resources.

Group Homes (Level VI). Supervision over youths is exercised through house parents. Program services are obtained through community resources.

Short Term Adolescent Residential Treatment (START) Centers (Level VI). The START Centers are similar to group homes but the facilities are relatively large buildings located in communities with a high population density.

Alternative Home Resources (Level VII). This is essentially a foster care program and was not included in the scope of LCER's audit.

Utilization

Both the number and proportion of youths placed within these subprograms (I-VII) has changed significantly over the period 1978-1981. (For a more detailed discussion of utilization see Chapter II. Table 2 illustrates the changes in the population distribution among these subprograms from January 1, 1978 to January 1, 1981. In 1978, 40.7 percent of the youths were assigned to secure or non-community based facilities. As of 1981, 997, or 49.5 percent, of the youths in DFY residential facilities were in secure and non-community based facilities. Within the community based programs there has been a population decrease of 31.6 percent during the referenced period.

Clientele Characteristics

The profile of DFY clients is based on admissions data for the years 1978-1980. While this illustrates a fairly clear profile of the DFY clientele, it includes readmissions from aftercare and prior service/new placements. The actual characteristics of the population at any point in time may vary depending on the number of readmissions and/or

Table 2

DFY Population by Program
January 1, 1978 to January 1, 1981

Program Level	Population*				Increase (Decrease) 1/1/78 to 1/1/81	
	1978	1979	1980	1981	Number	Percent
Secure Programs	138	156	145	206	68	49.3
Non-Community Based Programs	661	717	739	791	130	19.7
Community Based Programs	999	856	714	683	(316)	(31.6)
Cooperative-Voluntary Placement	164	162	177	335	171	104.3
Total	1,962	1,891	1,775	2,015	53	2.7

*As of January 1 for 1978, 1979, 1981, and as of December 31 for 1980. Data for 1981 transmitted by telephone.

Source: LCER staff analysis of DFY data.

prior service/new placements during the year. The admissions data are presented in Table 3. The following provides a summary of these data:

Admissions

While there has been a slight (4.2 percent) decrease in the number of total admissions, this is not an accurate indication of the population trend. The population figures from January 1, 1978 to January 1, 1981 indicate a 2.7 percent increase. The higher population is most likely due to longer sentencing--particularly for JOs.

Sex

Consistent with historical trends the male-female ratio is about three to one. There has been a decrease in the female admission levels from 1978 to 1980. Over this time period total female admissions decreased by 101 (17.0 percent).

Age

Admissions data show a younger DFY population in 1980 than in 1978. For those under the age of 14 there has been a 96 percent increase. For the same time period there was an 8.4 percent increase for the 14-16 year old age group. This trend is reversed, however, for those over the age of 16. The corresponding figure for this group shows a 68.1 percent reduction in total admissions from 1978-1980.

Adjudication Status

The adjudication status is important for two reasons. First, if it is assumed adjudication status is positively correlated to the seriousness of the

Table 3

DFY Clientele Characteristics By Admissions
1978-1980

	1978		1979		1980		Change 1978-1980 (Decrease)	
	No.	%	No.	%	No.	%	No.	%
Sex								
Male	1,718	74.3	1,482	73.4	1,721	77.7	3	0.2
Female	595	25.7	537	26.6	494	22.3	(101)	(17.0)
Total	2,313	100.0	2,019	100.0	2,215	100.0		
Age								
12 and under	27	1.2	50	2.5	55	2.5	28	103.7
13	86	3.7	130	6.4	166	7.5	80	93.0
14	270	11.7	381	18.9	456	20.6	186	68.9
15	597	25.8	778	38.5	868	39.2	271	45.4
16	809	35.0	495	24.5	493	22.3	(316)	(39.1)
17 and over	524	22.7	185	9.2	177	8.0	(347)	(66.2)
Total	2,313	100.1	2,019	100.0	2,215	100.1		
Adjudication[a]								
Juvenile Offenders/			81	4.0	89	4.0	8	9.9[b]
Restricted JD's	73	3.2	33	1.6	33	1.5	(40)	54.8
Juvenile Delinquents	1,195	51.7	1,098	54.4	1,352	61.0	157	13.1
PINs	517	22.4	501	24.8	440	19.9	(77)	(14.9)
Y.O./Criminal Charge	116	5.0	83	4.1	82	3.7	(34)	(29.3)
Other	412	17.8	223	11.0	219	9.9	(193)	(46.8)
Total	2,313	100.1	2,019	99.9	2,215	100.0		
Referral Offenses (JO's, JD's, RJD's only								
Felonies								
A	9	1.5	8	1.3	10	1.4	1	11.1
B	130	21.5	101	16.6	104	14.9	(26)	(20.0)
C	86	14.2	125	20.6	126	18.1	40	46.5
D	277	45.8	281	46.3	322	46.1	45	16.3
E	103	17.0	92	15.2	136	19.5	33	32.0
Total	605	100.0	607	100.0	698	100.0	93	15.4
All Misdemeanor								
A Misdemeanor	402	60.6	441	73.1	563	72.6	161	40.1
B Misdemeanor	86	13.0	67	11.1	99	12.8	13	15.1
Violations	3	0.5	3	0.5	3	0.4	--	--
Unknown	172	25.9	92	15.3	111	14.3	(61)	(35.5)
Total	663	100.0	603	100.0	776	100.1	113	17.0

[a] 1978 JO and RJD included together.
[b] 1979-1980 only.

Source: LCER staff analysis of DFY data.

crime committed, this variable offers an indirect reflection of the seriousness of the crimes. The second reason for its importance is that adjudication status may have a direct relationship to facility placement. For example, youths adjudicated as JOs must be placed in secure facilities. Table 3 shows the distribution of youths by adjudication status from 1978-1980. For the year 1978 the table aggregates JOs and Restricted JDs. These classifications are separated for 1979 and 1980. Between 1979-80 there was a 9.9 percent increase in the number of JO admissions. The number of Restricted JDs remained constant, while there has been a decrease in both the number of PINS (14.9 percent), and YOs/Criminal Charges (29.3 percent).

Referral Offenses

For JOs, Restricted JDs and JDs there has been no significant change in the distribution of referral offenses. Felonies comprised approximately 47 percent of such offenses in 1980 and in 1978. There was a slight increase in the percentage of offenses classified as misdemeanors from 38.5 percent to 44.9 percent, but some of this may be attributed to a decrease in the number of unknown referral offenses.

It appears that the DFY clientele is getting younger on average and the adjudication status of this younger population has changed in accordance with legal mandates. However, the character of the population--as reflected by referral offense--has remained constant. These changes have significant implications for DFY programs--particularly related to facility utilization as discussed in Chapter II.

Audit Scope and Methodology

LCER's evaluation of DFY's rehabilitative services programs and operations was undertaken in two phases. These include an evaluation of the effectiveness and efficiency of current program management and operations and an evaluation of the impact of DFY rehabilitation on a sample of youths exposed to the program during the period July 1978 to June 1979, as reported in LCER's research report titled, Impact of Youth Rehabilitation Programs.

Current Operations

Current operations were reviewed by LCER in the context of the following:

--Facility expenditures and utilization,

--Program scope and effectiveness, and

--Organizational structure and management operations.

Facility Expenditures and Utilization. DFY's rehabilitative services expenditures and facility utilization were documented from data provided by DFY, including projections of bed space requirements at secure centers. Bed space at secure centers is a particularly important issue since this is where DFY's residential population is increasing most rapidly.

Program Scope and Effectiveness. LCER focused its review of DFY programs primarily in two areas: Education Services and Youth Employment and Training. These two program service areas were selected for the most intensive data collection and evaluation efforts as these are the two programs provided to youths within DFY's residential facilities where at least some data were available to measure program effects. Other program services, including health, services to the handicapped and counseling, are referenced in terms of the scope of services provided.

Organization and Management. LCER's evaluation of DFY's organization and management structure focused on issues related to major reorganizations initiated within DFY rehabilitation services since 1976 and the extent to which such reorganization efforts affected the operation of the agency.

Program Impact

All of the issues fall short of defining the impact of DFY programs on youths in its residential rehabilitation program. To measure such impact, LCER obtained data for a group of 771 youths who had been in DFY's residential facilities during the last two quarters of 1978 and the first two quarters of 1979. In addition to background data obtained from DFY for the youths in the sample, LCER obtained information related to employment, education and criminal history of youths since leaving DFY and data concerning their program experience while at DFY. The purpose of this data collection effort was twofold:

--Determine the rate of criminal recidivism for youths exposed to DFY programs, and

--Determine background and DFY program factors that appear to have a significant relationship to the incidence of criminal recidivism and post-program success in employment and education for youths committed to DFY care.

The results of this study are presented in LCER's companion report, Impact of Youth Rehabilitation Programs. The general conclusions of the study, as they relate to current policies for facility utilization, are referenced in Chapter II of this report.

Chapter Summary

● Youths remanded to DFY residential facility care include: JDs, PINS, Restricted JDs, JOs and YOs. JOs remanded to DFY custody must be placed in Secure (Level I) Centers.

● Between 1978 and 1981 the DFY population in secure and non-community based facilities increased by 24.8 percent while community based programs decreased by 31.6 percent. As of 1981, 49.5 percent of youths in DFY residential care were in secure and non-community based facilities compared to 40.7 percent as of 1978.

● There was a 2.7 percent increase in the total DFY residential population between January 1, 1978 and January 1, 1981.

● A decrease of 17 percent in female admissions to DFY was noted between 1978 and 1980.

● There has been a 96 percent increase in the percent of youths under the age of 14 admitted to DFY and an 8.4 percent increase in the 14-16 year age group over the period 1978-1980. The number of youths ages 17 and over decreased 68.1 percent during this period.

● Between 1979 and 1980 there was a 9.9 percent increase in JOs admitted to DFY.

II DFY EXPENDITURES AND FACILITY UTILIZATION

As reflected in Chapter I, while DFY's residential population has remained relatively stable over the period 1978-1980 (see Table 3), its composition--related to status designations of youths--has changed dramatically. This, in turn, has affected the expenditures for the residential program and utilization rates in the various types of facilities. Utilization has increased at the more secure type facilities which also are more expensive to operate.

This chapter reviews DFY expenditures and facility utilization. The issues addressed include the following:

--Trends in the operating costs of DFY's rehabilitation services and

--Facility utilization rates and projected DFY requirements for bed space.

Expenditures

Over the period 1978-1980, DFY expenditures for rehabilitation services increased from $39,217,900 to $56,688,005--an increase of 44.5 percent:

Year	Expenditures*
1978	$ 39,217,900
1979	48,840,403
1980	56,688,005
Total	$144,746,308

*Excludes foster care and includes Highland Detention Center.

Facility Expenditures

Expenditures related to secure level facilities accounted for a significant part of the increase in DFY rehabilitative services expenditures over the period 1979-1980 (Table 4). Facility expenditures shown in Table 4 relate only to on-grounds expenditures by facility level, excluding prorated costs for central support services and central

Table 4

DFY On-Grounds Facility Expenditures* by Security Level
For Rehabilitation Services 1979-1980

Center Security Level	1979	1980	Percent Increase
Secure	$ 6,920,293	$ 9,112,314	31.7
Limited Secure	15,307,234	17,308,946	13.1
Non-Community Based	5,862,965	6,758,788	15.3
Community Based	9,398,649	10,123,216	7.7
Total	$37,489,141	$43,303,264	15.5

*Excludes DFY center support services, indirect costs, DFY regional expenditures and federal revenues. Includes on-grounds fringe benefits.

Source: LCER staff analysis of DFY data.

office and regional administrative costs for rehabilitative services. On-grounds expenditures for secure facilities increased 31.7 percent during the 1979-1980 period. The next highest percentage increase was for non-community based facilities--15.3 percent. On-grounds expenditures for all DFY residential rehabilitation facilities increased by $5,814,123. Secure facilities accounted for 37.7 percent of this increase--$2,192,021.

Local Charges

In accordance with Section 529 of the Executive Law, the county (local social services district) from which a youth is placed in DFY is responsible for one-half the cost incurred for the care, maintenance and supervision of the youth.

> One half of the cost of care, maintenance and supervision provided by the division pursuant to the provisions of this title, and title two of article nineteen-g, for local charges, as defined in the social services law, in the division's schools, centers, forestry camps and short-term adolescent training programs, hereafter referred to in this section as facilities, shall be reimbursed to the state by the social services districts from which such local charges were placed, as hereinafter provided.

Per Diem Rates. DFY arrives at charge-backs to the respective social service districts by calculating a per diem rate at each DFY facility and allocating one-half the per diem for each youth based on his length of stay at the facility.

Per diem rates vary among the facilities. Due to the more extensive rehabilitation services at the secure and limited secure facilities, the per diem rates are generally higher than those at the community based facilities. The average per diem rates for the DFY security levels are reflected in Table 5. Over the period 1979-1980, per diem rates increased for all security levels with the exception of urban and contract homes. Per diem rates at YDCs had the greatest percentage increase--68.4 percent--from 1979 to 1980. The secure centers had the second largest percentage increase--25.8 percent. During 1980 the average per diem rate at the YDCs was the highest ($192).

Table 5

Average DFY Per Diem Rates by
Security Level for the Years
1979 and 1980

Center Security Level	1979	1980	Percent Increase (Decrease)
Secure	$128	$161	25.8
Limited Secure	117	137	17.1
Non-Community Based	59	72	22.0
Residential	97	114	17.5
Urban Homes	89	70	(21.3)
YDCs	114	192	68.4
Contract Homes	88	69	(21.6)

Source: LCER staff analysis of DFY data.

There also is variation in the per diem rates for facilities within the same security level (Table 6). Utilization levels (i.e., number of days of care provided) at the facility account for a significant part of the variation--as utilization increases per diem rates decrease--as reflected in Table 6. In most cases, within any facility group, the higher the utilization rates the lower the per diem charges.

Local Billings. Each quarter the division bills each county social services district for one-half the State's share of child care costs. The total number of youths and days of care are determined and the applicable per diem charges are calculated. The per diem cost is used in determining county chargebacks.

Reduced and Non-Reimbursable Charges. There is an exception to the 50 percent charge-back level for Aid for Dependent Children (AFDC) cases. The federal government reimburses the State at a rate of 50 percent for each youth eligible for AFDC. In this instance the State-local charge changes from 50 percent State and 50 percent local to 25 percent State--25 percent local--50 percent federal. Youth Support Inc. (YSI) was created to take advantage of the 25-25-50 reimbursement rate. The federal regulations allow a 50 percent reimbursement to not-for-profit child care corporations such as YSI. YSI was established as a not-for-profit corporation to contract with DFY for the operation and maintenance of its urban homes and YDCs. The contract between DFY and YSI allows the State to obtain reimbursement from the federal government for AFDC cases. YSI is funded by a First Instance Appropriation. DFY estimates federal reimbursement for AFDC. Table 7 reflects DFY projections for federal reimbursement and actual federal cash payments for the fiscal years 1977-78 through 1980-81. DFY has overestimated federal AFDC obligations by $1.5 million over this period.

Counties are not liable for the costs of DFY care for youths sentenced as JOs, since the State pays the total cost for the care of JOs.

Facility Utilization

Table 8 shows the actual utilization of DFY facilities over the period 1979-1981. The total number of days of care provided during this time period increased from 472,511 days of care provided for all levels of care in 1979 to 522,130 in 1981--or an increase of 10.5 percent. The most significant increase in number of days of care occurred at secure centers. At secure centers the number of days of care provided increased 73.4 percent--reflecting expansion of that program--99,498 in 1981 compared to 57,376 in 1979. There was also an increase in days of care provided at limited secure centers--from 138,548 in 1979 to 162,676 in 1981--an increase of 17.4 percent.

During this time period community based facilities were underutilized. YDCs' utilization decreased from 83.6 percent in 1979 to 54.6 percent in 1981. The decrease in utilization at the YDCs is accounted for by a 24.4 percent increase in capacity with a 18.8 percent decrease in the number of days of care provided. Overall, the utilization rate at community based facilities stood at 65.1 percent in 1981 compared to 71.6 percent in 1979.

Projected Capacity Needs-Levels I and II Facilities

To forecast future demand on DFY facilities--particularly Levels I and II--DFY used a number of simulation models. Two models were developed during 1981--in March and September. Both models show different projections for secure facility bed space

Table 6

Utilization Levels and Per Diem Rates
Variations at Selected DFY Residential Facilities by Level
1980

Center Security Level	Net Charges[a]	Actual Utilization		Per Diem Costs	
		Days of Care	Percent Utilization	Actual	At Capacity
Secure					
Goshen	$3,248,893	26,612	97.0	$122	$118
Brookwood	2,666,445	17,175	93.9	155	146
LTTU	1,054,654	4,753	72.2	223	160
Limited Secure					
Middletown	576,135	6,271	85.7	92	79
Pyramid	2,264,535	10,397	56.8	218	124
Bushwick	1,677,449	5,447	49.6	308	153
Non-Community					
Nueva Vista	1,269,623	19,862	90.5	64	58
Camp Cass	1,303,201	15,985	87.4	82	71
Staten Island	561,316	5,031	68.7	112	77
YDCs					
Brooklyn[b]	1,321,443	9,773	62.1	135	84
Brooklyn[c]	1,040,550	7,051	80.3	165	118
Harlem	1,600,368	4,091	44.7	395	175
Urban Homes					
Buffalo	107,055	2,510	98.0	43	42
Bronx	292,546	6,551	85.2	45	38
Rochester	314,530	6,086	79.2	52	41
Walden	83,480	1,017	39.7	82	33
Ulster	101,002	1,222	47.7	83	39
Poughkeepsie	240,782	2,626	51.3	92	47
Monticello	151,451	1,467	57.3	103	59
Westchester	311,411	2,879	37.5	108	41
New Rochelle	125,771	845	33.0	141	49

[a] Less federal revenues.
[b] YDC No. 3 boys.
[c] YDC No. 4 girls.

Source: LCER staff analysis of DFY data.

Table 7

DFY Projected and Actual Federal
Reimbursements For YSI
1977-78 through 1980-81

Year	DFY Projection of Federal Reimbursement	Actual Federal Reimbursement	Amount of Overestimate (Underestimate)
1977/78	$ 1,232,000	$ 1,043,446	$ 188,554
1978/79	4,411,400	3,010,689	1,400,711
1979/80	2,648,600	3,137,408	(488,808)
1980/81	3,604,200	3,181,599*	422,601
Total	$11,896,200	$10,373,142	$1,523,058

*Estimates include Title XX and school lunch program.

Source: LCER staff analysis of DFY data.

needs. The September projection indicates an increase in demand between July 1981 until the first part of 1985 with a leveling off at that time; by contrast the March projection shows needed capacity continuing to increase. The figures below are the projected populations for secure facilities in December 1983.

DFY Model	Population Projections for December 1983
March 1981	396
September 1981	418

As more information becomes available to DFY, adjustments will have to be made in the population projections. DFY plans to expand the models to include variables which are external to the system, but which may have an indirect influence on the population projections. An example of this is the changes in the population of youths for the 13-19 year old age group.

DFY's secure facility (Level I) experience during the period July 1981 through January 1, 1982 compared to DFY's projections formulated in March and September 1981 is shown in the following table:

Secure Bed Projections
Compared to Population Levels
July 1981-January 1982

Month	Actual Population	1981 Projected Secure Bed Requirements	
		March	September
July 1981	289	315.8	350
August 1981	305	320.0	359
September 1981	325	324.7	366
October 1981	337	329.2	372
November 1981	368	333.8	377
January 1, 1982	347	338.0	380

Table 8

Facility Capacity and Utilization
Rates by Security Level
1979-1980

Center Security Level	Actual[a] Capacity 1979	1980	1981	Utilization (Days of Care) 1979	1980	1981	Percent Utilization 1979	1980	1981
Secure	66,795	77,848[b]	99,498	57,376	63,454	99,498	85.9	81.5	100.0
Limited Secure	162,425	151,158	186,079	138,548	132,430	162,676	85.3	87.6	87.4
Special Residential	10,950	10,614	10,950	10,515	9,504	10,490	96.0	89.5	95.8
Residential	124,100	177,852	123,370	115,499	111,936	110,735	93.1	62.9	89.8
START (Urban)	22,630	19,764	20,440	12,395	11,174	8,310	54.8	56.5	40.7
YDCs	54,750	67,344	68,080	45,746	38,354	37,138	83.6	57.0	54.6
Group Homes	132,860	122,976	124,706	92,432	92,742	93,283	69.6	75.4	74.8
Total	574,510	627,556	633,123	472,511	459,594	522,130	82.2	73.2	82.5

[a]Number of Beds x 365 (1979/1981) and 366 (1980). Bed capacity based on DFY facility reports as of 1-9-80 for 1979 and 12-15-80 for 1980. Bed capacity for 1981 based on DFY calculations of yearly average bed capacity.
[b]Include: Oneida Secure-operational with ten beds for Nov/Dec, 1981.

Source: LCER staff analysis of DFY data.

DFY's March projections understated the population during the last quarter of 1981. The September projections overstated the bed requirements for the entire period, July 1981-January 1, 1982 (see Chapter IV for facility utilization during this period). As of December 1981 DFY had an actual capacity at secure facilities of 365.

Facility Utilization and Program Impact

An important rationale for placing youths in a more secure setting (in part dictated by legislative mandates) is to ensure the removal of children from the community and to provide different programming for youths deemed a greater risk. This has resulted in an increase in the expenditures for physical plant construction and operation.

LCER's follow-up study of 771 DFY youths (referenced in Chapter I) concluded that there was no significant difference in the outcomes (with the exception of youths with prior felonies in secure facilities) for youths with similar background characteristics--whether they were confined in secure and non-community based facilities or placed in the community--as measured by:

--Criminal history after release from DFY,

--School status, and

--Employment experience.

This has significant implications for DFY's programming--reflecting a shift toward secure and non-community based facility placements. Since LCER's data provide documentation of general outcomes relative to the measures listed above, the following conclusions appear warranted:

--Where no significant differences are found in a youth's criminal history after leaving DFY, there would appear to be no significant differences in the degree of risk posed by youths placed in secure and non-community based facilities compared to those placed in community based facilities.

--Given the higher costs associated with secure facilities, DFY is expending resources in secure facilities without a corresponding impact relative to subsequent success in reducing the risk of future criminal activity or improving the prospects of success in terms of school and employment.

--DFY's level system does not serve the purposes for which it was established either in terms of the degree of security required (except for youths with prior felonies in secure facilities) or in affecting youths' behavior after release from DFY.

Chapter Summary

● DFY expenditures for rehabilitative services (including indirect costs for administrative support services) increased 44.5 percent from $39.2 million in 1978 to $56.7 million in 1980.

● Expenditures for secure centers (Level I) increased 31.7 percent--from $6.9 million in 1979 to $9.1 million in 1980.

● YDCs had the greatest percentage increase in per diem rates of all security levels--68.4 percent, from $114 in 1979 to $192 in 1980. Secure centers had the next highest per diem rate increase, from $128 in 1979 to $161 in 1980--an increase of 25.8 percent. The increase in per diems at YDCs is accounted for by a decrease in utilization, from 83.5 percent in 1979 to 57.0 percent in 1980.

● There is considerable variation in the per diem rates for different facilities within the same security level. An important factor accounting for such variations is the utilization rate (days of care provided) compared to the bed capacity at the respective facilities. The relationship is an inverse one--as utilization increases per diem costs decrease.

● Over the period 1977-78 through 1980-81, DFY overestimated AFDC reimbursement for children under care by $1.5 million.

● Between 1979 and 1981 utilization of all DFY residential facilities--measured in total number of days of care provided--increased by 10.5 percent. The most significant decreases occurred within YDCs where utilization decreased to 54.6 percent in 1981 from 83.6 percent in 1979. At secure centers the number of days of care increased 73.4 percent--from 57,376 in 1979 to 99,498 in 1981.

● Based upon LCER's study of a group of 771 youths with different DFY residential experiences, it does not appear that DFY's residential level system makes any significant difference as measured by post-DFY experiences of youths' criminal behavior and employment and educational achievements.

III DFY PROGRAMS

DFY administers a variety of programs within its residential facilities. LCER's evaluation focused on those programs for which there were data available which could be used to determine youths' progress with measures of achieving standardized goals. These include education, vocational training and work experience. While health, services to the handicapped, and counseling are important elements of DFY's rehabilitation efforts, data were not available for evaluating their results.

LCER's evaluation of DFY's education, vocational training and work experience programs focused primarily on data that:

--Measure youths' deficiencies in the respective program areas,

--Measure achievement after exposure to the programs, and

--Indicate participation of youths at the respective facilities.

LCER organized education, vocational training and orientation and work experience data for non-community based and community based programs. Data were collected by on-site facility visits and through questionnaires sent to all facilities.

Program Models

DFY defines the structure of its rehabilitation intervention models to the extent, for example, that non-community based programs are generally self-contained and community based programs are designed to provide transitional assistance for return to the community, utilizing community resources to provide many of the educational and training programs required by resident youths. However, differentiation of program models below this aggregate level are difficult to discern. The difficulty of defining DFY program models at specific residential facilities was documented in an earlier DFY study, Delinquency Intervention in New York's Division for Youth, 1980, involving an effort to classify DFY facilities by relatively sophisticated measures of program environment. One conclusion of the study was that, "...level of restrictiveness is a poor predictor of intervention--relevant program climate...sophisticated placement decisions regarding youngsters would require unit-specific data." This means that DFY has not developed programs at individual facilities specifically designed for the types of youths intended to be served at the respective facilities.

> Essentially, the Division for Youth, with a few exceptions, lacks sophistication and refinement in the development and refinement of its programmatic services. We do not take advantage of available knowledge regarding the diagnoses and treatment of delinquency to any appreciable extent. In fact, the Division for Youth, generally speaking, goes little further than deciding whether a youngster belongs in a camp, a START center, a group home or, when legally mandated, in a secure setting, etc. For several years, the Division for Youth has made relatively jaw-bone placement decisions and has not really focused on the development of a spectrum of differentiated services. Of course, some progress has been made in the past three or four years, i.e., community-based programs, youth employment, health services, etc., but one cannot yet point to facilities and state specifically why its program is what it is in relationship to the types of youngsters it serves.[1]

This ambiguity in the types and goals of facility specific program models is significant from at least two perspectives. First, placement decisions are predicated more on the basis of security level considerations and the availability of bed space rather than rehabilitative program needs. Second, the problem of evaluating and monitoring intervention techniques and programs is compounded when the purposes and anticipated program outcomes at a given facility or a program level have not been clearly articulated. This, in turn, has significance when attempting to view DFY as a system for youth rehabilitation intervention and in classifying its various components along a continuum.

To the extent that DFY has failed to define the goals and importance of any given program component, LCER's evaluation falls short of defining the significance of any given data segment--other than to report the results of the LCER analysis without benefit of the significance of the data in DFY's overall scheme for youth rehabilitation.

DFY Education Programs

There is a correlation between children experiencing academic failure and corresponding delinquent behavior patterns. Testimony in the Morales v. Turman case estimated that only five percent of juveniles incarcerated in Texas were performing at their proper grade level.[2] Their average reading level was estimated to be five years below norm.[3] The school-based theory of delinquency suggests that children who are poor academic achievers are apt to acquire a negative self-image as a result of their inability to meet educational, vocational, social or personal goals. Youths with this poor self-image may take out their anger and frustration in overt acts of aggression and delinquency. In turning to delinquency and crime, they may find a substitute for the success that was not achieved within school. It follows that academic remediation might help the youth move toward more socially acceptable behavior. In this context schooling the juvenile delinquent becomes more than a legal mandate: it becomes a technique for treating the child.

DFY's philosophy on the role of education in its youth rehabilitation program is based on the school-failure theory just described. In a draft of DFY's Educational Services functions, prepared for the Policy and Procedures Manual, the following educational philosophy is stated:

> It is the responsibility of the Division For Youth to provide a quality education for youth placed in its care. Education, as an integral part of the rehabilitative process, and considering the diverse needs and learning styles of the youth who are served, provides for the acquisition of basic academic, occupational, social and living skills; encourages healthful living styles and practices; fosters positive social attitudes and law abiding living; and prepares youth for re-entering the community equipped with the necessary skills to re-enter and complete school successfully or to enter the job market with the potential for earning a living which should encourage the youth to refrain from further anti-social or criminal behavior.[4]

LCER focused on the following in reviewing DFY's efforts to provide educational programs for DFY youths:

--Placement in remedial programs where educational deficiencies were identified,

--Measures of educational progress through the use of standardized testing instruments, and

--Completion of grade levels.

The same types of data were not consistently available for both the non-community and community based programs.

Secure and Non-Community Based Education

Data collected by LCER staff to evaluate secure and non-community based facility education programs were obtained through site visits and questionnaires sent to DFY facilities.

Education Planning Procedures

Within DFY facilities there is an emphasis on remediation in reading and mathematics because of the academic deficiencies of a majority of DFY youths. In addition, classrooms are ungraded.

Each facility is required to prepare facility education plans (FEPs) and individual education plans (IEPs):

--Facility Education Plans--The overall facility education program is to be structured to serve residents in that particular facility. Planning and programs are based upon learning techniques suited for the age and learning capacities of the residents. The FEP is intended to be used by DFY personnel to make appropriate youth placements.

--Individual Education Plans--IEPs are intended to insure that each youth receives services available at that facility. Each youth's IEP must be based upon a thorough screening and assessment process at intake or readmission if the screening is more than 12 months. Pretest screening instruments are designed to determine the youth's capabilities in the following areas: reading, mathematics, writing, language development, vocational aptitude, general interest, psychological development and physical health. These factors are to be evaluated and an IEP prepared identifying both short and long-term instructional objectives. The IEP should be continually updated to determine its effectiveness.

FEPs and IEPs do not mean that education programs can be devised without regard to many other factors affecting the youth. DFY's Office of Education states, "The FEP will be the result of an interdisciplinary process since educational programming cannot be separated from the total rehabilitation efforts of the youngster. . . . The Individualized Education Program, in addition to developing and improving cognitive skills, will support, enhance and contribute to the youth's total rehabilitation."[5]

Measures of Educational Achievement

It is the responsibility of DFY to diagnose the educational skills of a youth to insure appropriate academic placement. Reading and mathematics are two of the screening tests administered routinely to all youths on admission to a DFY facility.

Testing for Remedial Needs. Standarized tests often are used as a frame of reference to determine the grade level competency of students who may need remedial

assistance. The results of these tests are used to calculate grade equivalents (GEs) for each youth. While the use of GEs is common, some caution must be taken in their interpretation. These include:

--GEs are frequently misinterpreted or overinterpreted.

--They are average values and, therefore, do not indicate how well a given child or class should do.

--Grade scores are not very useful for assessing a child's position relative to others in his grade as he moves through the grades.[6]

Nevertheless, in evaluating Title I programs, the use of standards derived from standardized test norms is by far the most common approach.[7] This is because the standards, expressed in grade equivalents, can be applied across different tests, and used for aggregating data.[8] While there may be problems with GE scores, they represent the best information available and frequently are used to measure academic progress.

The GE scores of individuals in DFY facilities are used to calculate the mean years behind grade level for eligibility for Title I (reading and mathematics) programs. Table 9 shows the initial testing results in mean years behind grade level for those enrolled in Title I programs in secure and non-community based DFY facilities for the school year September 1980 to June 1981.

Youths enrolled in Title I programs on average exhibit a greater deficiency in both reading and mathematics than those not enrolled in Title I programs. This situation mirrors the philosophy of DFY of placing youths with the greatest need (those with the lower GE scores) into available positions in Title I programs. Furthermore, when an individual reaches a functioning level (depending on facility criteria), it is implicit that the youth be replaced in the program by others of lesser ability as measured by standardized test scores. Table 9 suggests an effort by DFY to maximize the use of Title I funds by making the program available to the most educationally disadvantaged. It is interesting to note the differences in averages between those enrolled in Title I programs and those not enrolled in Title I programs in facilities designated by the same level of security. For example, while the mean years behind grade level for individuals not placed in the Title I math program at Goshen was 6.0, this same level would qualify one for Title I enrollment at another facility (e.g., Tryon or South Lansing). If comparisons are not restricted to facilities of the same level of security, the contrast is even more dramatic. Although all youths in DFY are eligible for Title I programs, the facility in which they are placed is one factor in determining if they are actually enrolled in these programs.

Standardized Measures of Progress. DFY requires each facility to administer norm-referenced test instruments to youths at the time of facility admission, but the facilities are not required to obtain post-test data for youths. As noted above, the norm-referenced tests are used to determine remediation needs for purposes of Title I eligibility and to determine placement in reading and math labs. For youths placed in Title I reading and/or math labs, criteria referenced tests (measurement of specific skills mastered) are administered periodically and are reported to DFY's Education Services unit as a "pass" or "no-pass." These criteria-referenced tests are used for planning individual programs at the individual facility.

While it is not required to post-test students for grade equivalency using norm-referenced test instruments, a number of facilities give youths post-tests to measure their progress in reading and math. LCER obtained pre-test and post-test data from facilities

Table 9

Mean Years Behind Grade Level
For Title I Youths/Non-Title I Youths
September 1980-June 1981

Center Security Level	Reading				Mathematics			
	Title I		Non-Title I		Title I		Non-Title I	
	Number of Cases	Mean Years Behind	Number of Cases	Mean Years Behind	Number of Cases	Mean Years Behind	Number of Cases	Mean Years Behind
Level I								
Brookwood	40	6.4	66	4.0	30	6.9	32	5.0
Goshen	66	6.0	42	2.9	64	7.0	4	6.0
Masten Park	0	na	54	4.2	0	na	53	5.1
Bronx LTTV	23	5.1	0	na	0	na	24	5.4
Oneida	0	na	21	4.8	0	na	21	6.7
Harlem Valley	0	na	9	7.2	0	na	9	5.2
Highland	91	2.9	0	na	0	na	69	3.8
Total	220		192		94		212	
Level II								
Highland Youth	44	4.8	4	3.7	42	5.3	3	1.2
Industry	124	4.5	74	2.5	117	6.0	80	4.6
Tryon	140	4.1	23	1.5	131	5.5	27	3.7
Brace	62	4.5	11	2.1	65	5.9	7	4.6
Overbrook	46	4.0	16	1.6	59	5.1	3	4.1
So. Lansing	58	3.4	12	2.8	55	5.2	7	3.0
MacCormick	50	4.3	2	3.3	49	6.0	0	na
Middletown	19	3.3	11	1.8	30	4.4	1	4.1
Pyramid House	0	na	61	4.2	0	na	61	6.3
Bushwick	33	5.3	5	3.1	0	na	39	6.2
Brentwood	32	5.5	9	2.9	18	3.7	15	4.6
Total	608		228		566		243	
Level III Special Centers								
Highland ILC	34	5.6	0	na	0	na	33	4.3
Highland OEC	0	na	44	na	0	na	43	na
Roch ERTC	11	4.2	2	3.6	11	4.0	1	.5
Total	45		46		11		77	
Level IV								
So. Kortright	63	4.4	26	2.6	64	5.5	26	4.0
Gt. Valley	52	4.9	46	1.6	50	5.5	50	3.8
Adirondack	32	3.3	6	(.3)	32	3.3	6	1.9
Auburn	20	1.9	2	1.6	25	2.8	3	1.2
Annsville	63	4.4	60	1.8	71	5.8	49	3.2
Staten Island	33	3.4	10	1.8	48	3.7	0	na
Camp Cass	58	5.2	25	2.7	69	6.0	16	3.2
Nueva Vista	40	5.9	50	3.2	63	6.7	41	3.9
Total	361		225		422		191	

na=Not Available.

Source: LCER staff analysis of data provided by DFY.

where such data were available to evaluate the level of achievement. Data on pre-post testing for reading and math were obtained for 135 and 131 students at eight DFY facilities (see Table 10).

Approximately 83 percent of youths in Title I reading showed some improvement from pre-test to post-test. Likewise, 75 percent of youths in Title I mathematics programs also showed some improvement. This improvement, however, is less significant if measured over time. To determine when an increase in ability is significant, and to discount the possibility of chance fluctuations, evaluators have incorporated time as an element in interpreting any increase in GE scores. While any increase in GE scores is desirable, a rate of growth offers a more realistic comparison. Evaluators have devised the ten percentile point system as a measure of growth rates. For every month a youth participates in an educational program, it is assumed that he will increase his post-test score by ten percentage points. For example, if a youth is in a facility for 15 months, it is expected that the student will achieve a 1.5 GE increase. Although 82.9 percent of youths in Title I reading and 74.8 percent of youths in Title I mathematics made some progress in a DFY facility, only 51 percent performed at or above the ten percent standard.

Utilization of Testing Data. While DFY has complied with the requirements of the State Education Department to administer screening tests, the DFY central office has not

Table 10

Pre/Post Test Scores For Title I
Reading and Mathematics
1980-81 School Year

	Reading			Mathematics		
		Percent of			Percent of	
Facilities	Number of Cases	Youth Showing Improvement	Improvement at or above[a] Expected Level	Number of Cases	Youth Showing Improvement	Improvement at or above[a] Expected Level
Goshen	46	91.3	43.5	45	77.8	48.8
Great Valley	23	91.3	43.5	19	78.9	63.2
Brookwood	11	63.6	18.2	11	81.8	45.5
Nueva Vista	12	41.6	25.0	12	50.0	33.3
MacCormick	6	83.3	83.3	6	83.3	66.6
Camp Cass	7	100.0	57.1	7	71.4	57.1
South Kortright[b]	7	100.0	100.0	7	100.0	71.4
Highland Youth[c]	23	78.3	60.9	24	79.2	54.2
Total and Weighted Averages	135	82.9	51.0	131	74.8	51.0

[a]Based on an expected level of achievement of a ten percent monthly increase in test scores.
[b]California Achievement Tests.
[c]Reading: Woodcock; Mathematics: Key.

Source: LCER staff analysis of data obtained from facility visits and survey questionnaires.

made post-testing mandatory. Consequently, these testing data have not been used by DFY to evaluate the facility education programs. Recognizing the need to use the data for evaluation purposes, DFY proposed such program evaluations in its 1981-82 budget request.

Community Based Educational Programming

Community based services for DFY youths are provided through YSI in its 30 group homes and six YDCs. (The Buffalo Urban Center, a non-YSI operated facility, is included for purposes of analysis as a seventh center). Homes and centers are distinguishable from DFY residential facilities by their lower security and access to public services (see Chapter I). School districts in particular, are used by DFY youths in community based facilities. These youths also have access to DFY schools located at the centers.

Title I Programs

Since local schools provide educational services for a number of DFY youths, DFY expenditures for community based educational programs are limited. Title I funds have been used primarily to provide tutors for DFY youths in urban homes, for remedial labs, for reading and mathematics in centers and for operating summer school programs for some community based youths.

In 1979 Title I appropriations were reduced by the federal government (see Table 11). This reduction led to DFY's decision to concentrate most of the remaining Title I funds on residential educational programs. As of 1980-81, Title I funding for tutorial and summer school programs for youths in urban homes was eliminated.

Measures of Progress

Data concerning educational programming for community based youths were obtained through an LCER survey questionnaire sent to 30 homes and seven centers (including the Buffalo Urban Center). Questionnaires were received from all seven

Table 11

Title I Funds Allocations for DFY
Community Based Facilities
1979-80 and 1980-81

Facility Type	School Year 1979-80	School Year 1980-81	Percentage Change
Homes	$239,030	--	-100.0
Centers	158,200	$146,576	-7.4
Total	$397,230	$146,576	-63.1

Source: LCER staff analysis of data provided by DFY.

centers and 23 of the 30 homes. The survey included questions concerning the activities of youths residing in homes and centers as of May 29, 1981. LCER staff received returns for all 155 center residents and 300 of 328 home residents--a total response rate of 94 percent.

The questionnaire was designed to obtain information on all youths even if some were subsequently discharged or were absent from the facility. Information requested included:

--School attendance and period of attendance during the 1980-81 school year,

--Type of school attended,

--Grade level attendance and completion, and

--Whether the youth received a general equivalency degree (GED) or high school diploma during the 1980-81 school year.

Information was not always available for each youth. Consequently, the number of children in the following analysis varies according to whether information was provided for each child.

School Attendance. Although a youth is legally required to be in an educational program until age 16, DFY home and center directors strongly 'encourage' youths to attend school after their sixteenth birthday. These efforts are reflected in the high percentage of youths in community based facilities attending school either full or part-time. As shown in Table 12, only 15.5 percent of youths in homes and 11.3 percent of

Table 12

School Attendance by Youths in Community Based Facilities
1980-81 School Year

	Homes				Centers			
		Percent				Percent		
Age of Youth	Number of Youth	Attended Full-Time	Attended Part-Time	Did Not Attend	Number of Youth	Attended Full-Time	Attended Part-Time	Did Not Attend
17 & Over	66	60.6	16.7	22.7	44	72.7	13.6	13.6
16	85	70.6	9.4	20.0	63	82.5	4.8	12.7
15	76	82.9	9.2	7.9	27	85.2	7.4	7.4
14	40	87.5	5.0	7.5	13	100.0	--	--
13	19	73.7	5.3	21.1	4	75.0	25.0	--
12	4	75.0	25.0	--	--	--	--	--
N =	290	215	30	45	151	123	11	17
Percentage	100.0	74.1	10.3	15.5	100.0	81.5	7.3	11.3

Source: LCER staff analysis of community based facility questionnaire.

youths in centers did not attend school (either full or part-time) during the 1980-81 school year. Youths in centers attended school full-time at a slightly higher rate than youths in homes--81.5 percent compared to 74.1 percent, respectively.

There are a number of reasons why a youth under the age of 16 may not have attended school: truancy prior to facility admission, runaway from the DFY facility or transfer to another DFY facility. The LCER survey revealed that almost all community based youths attending schools in 1980-81 enrolled before their facility placement or were admitted to school in the same month or the month succeeding their facility placement. For example, only 12 of 239 home youths and seven of 126 youths in centers were placed in school two or more months after their facility admission date. This indicates that, despite the delinquency histories of community based youths, DFY has been successful in placing these youths relatively quickly in a public or other educational program.

Based on the data obtained by LCER staff, both the length and time of admission are related positively to school attendance. Youths admitted to a DFY community based facility early in the school year were likely to have attended school. Table 13 shows that of the 58 youths not attending school in 1980-81, 37, or 63.8 percent, were admitted during the last quarter of the school year.

Types of Schools Attended. Youths in homes and centers have the opportunity to use local school resources. The LCER survey sought to determine the use by DFY youths of local public schools, alternative schools (i.e., street academies and special educational facilities), vocational schools, colleges, etc. during the 1980-81 school year. Not unexpectedly, local public schools were used by a large portion of DFY home residents--72 percent. However, only 33 percent of the center residents used public schools.

Table 13

Non-School Attendance as Related to
DFY Facility Admission Periods for Youths in Community Based Facilities
School Year 1980-81

DFY Facility Admission Period	Number of Youths Admitted	Percent	Number of Youths Not Attending	Percent	Percent Not Attending by Period of Admission
Prior to July 1980	41	9.7	7	12.1	17.0
July-October 1980	63	14.9	--	--	--
November 1980-February 1981	133	31.4	14	24.1	10.5
March-June 1981	186	44.0	37	63.8	19.9
Total	423	100.0	58*	100.0	13.7

*Sixty-three youths did not attend school but reliable facility admission dates were not available for five youths.

Source: LCER staff analysis of community based facility questionnaire.

Alternative sources of education were the preferred type of school for 40 percent of center youths but for only 21 percent of home youths. Other types of schools--primarily DFY operated in-house schools located in the YDCs--accounted for 27 percent of center residents' schooling but only four percent of home youths' schooling. No center youths attended college or a vocational school in 1980-81 whereas two percent of home youths attended a vocational school and one percent went to college.

Home youths in metropolitan areas under 100,000 population tended to use local public schools more often than the that of other home youths: 78 percent to 64 percent. Alternative schools, situated primarily in the largest communities, were used by home youths in communities over 100,000 population at a rate nearly double that of other home youths: 29 percent to 16 percent.

Youths' Academic Characteristics. Testing results reported in the LCER's questionnaires, indicated that approximately half of all community based youths scored at or below the sixth grade level in both reading and mathematics. Deficiencies in reading and mathematics skills are more apparent if one compares the youths' grade test level performance to normal grade level by age. As shown in Appendix B, home and center youths were an average of 2.9 and 3.0 behind grade level in reading. In mathematics the same residents performed even more poorly scoring an average 3.2 and 3.6 years behind grade level.

The New York State Board of Regents considers a 9.0 grade level as the minimal competency required for an average high school graduate. The average DFY youth scored below the sixth grade level and since the average age of these youths is 16.1 years--an age for which school attendance is not generally mandatory--it is likely that a considerable number of these youths will not achieve the minimal competencies of a high school graduate.

Academic Progress. Although many DFY community based youths are unlikely to meet high school graduation standards, LCER attempted to measure the academic progress achieved by community based youths. The LCER survey employed three methods to determine achievement: grade level completion, completion of the school year and the attainment of a high school degree or GED. (LCER staff are aware that some schools promote children even when their academic performance falls short of promotion standards. This factor could not be controlled for in the LCER study.)

Table 14 shows that home youths and center youths completed their grades at virtually identical rates--57 percent. Although one can never be certain why one youth completes a grade and another does not, further analysis of the LCER questionnaire revealed some insights into the problem:

--Home youths completed public school grades at a lower rate than center youths--54.4 percent to 84.4 percent. However, youths in homes are more likely to complete an alternative school grade than youths in centers--56.5 percent to 42.9 percent. Interestingly, youths in centers are unlikely to complete their grade level if they attend any other type of school than public or alternative schools. Of the 16 center youths that attended another type of school (primarily DFY-run YDC schools) 15 youths did not complete their assigned grade level.

--Completion of an assigned grade level by a youth appears to be related to when the youth was first placed in the facility. If a youth was placed

Table 14

Grade Level Completion by Youths in
Community Based Facilities
1980-81 School Year

Facility	Number Completing	Percent	Number Not Completing	Percent	Total	Percent
Homes	113	56.5	87	43.5	200	75.5
Centers	37	56.9	28	43.1	65	24.5
Total	150	56.6	115	43.4	265	100.0

Source: LCER staff analysis of community based facility questionnaire.

in a facility early in the school year he was more likely to complete the grade level. Unsuccessful grade level completion was experienced by more than 50 percent of youths who were admitted to a facility in October, February, April and May.

--There does not appear to be a significant relationship between a youth's reading aptitude and grade level completion. With the exception of youths reading at the fifth grade level, the majority of youths for each reading grade level from 1.0 to 12.0+ were completing their grades. Some youths with high reading aptitudes in relation to their assigned grade showed evidence of underachievement. For example, nine of 16 youths assigned to the tenth grade with reading competencies of 12.0 did not complete their grade.

Although community based youths have numerous personal and academic problems which hinder their ability to compete in a traditional academic environment, some manage to overcome these obstacles. The LCER survey revealed that 31 youths (of a possible 267 over the age of 16) were able to complete high school or earn a GED. For a few youths, therefore, residence in a DFY home or center provided an important academic opportunity.

DFY Vocational Education and Employment Programs

Funded with federal countercyclical monies, DFY's Youth Employment Unit was created in February 1978. Prior to the unit's establishment, activities relating to vocational skills training in DFY facilities consisted primarily of vocational instruction in a shop. Vocational training was generally treated as one component in the youth's education program and usually was limited to traditional courses offered in a junior high school. A few facilities were able to send some youths to local Boards of Cooperative Education Services (BOCES) for more advanced skills training.

Goals

The youth employment unit was charged with updating vocational skills training courses, establishing work experience programs in DFY facilities and developing employment programs for DFY clients in aftercare status. The justification used by DFY for this increased emphasis on vocational and employment programming was the belief that juveniles need the means (i.e., vocational skills and job awareness) to achieve access to societal goals.

To meet the objective of improving youths' skills in facilities and in the community, the employment unit stresses five areas:

--Increase basic educational competencies;

--Increase vocational skills and abilities;

--Improve work-related attitudes and behaviors;

--Increase self-awareness of vocational interests, aptitudes and skills; and

--Increase job market knowledge and job seeking skills.

To increase the rate of youth employment, the DFY Youth Employment Unit uses three primary methods:

--Increase job opportunities for DFY youths;

--Provide placement services to youths; and

--Provide counseling and other supportive services to enable youths to remain employed or to seek further educational or occupational goals.

Funding

Expenditures for DFY vocational programs were relatively small until the latter part of the 1970s. A few staff and raw materials were the major costs. However, as federal funds became available in 1977 through CETA and federal countercyclical grants, vocational programming received more emphasis. Vocational skills training, work experience and youth employment programs for both residential and community based facilities were greatly enhanced. From early 1978 through early 1982 over $5.3 million was allocated for residential vocational programs (see Appendix Table C-2). However, with the termination of federal countercyclical and CETA grants, DFY was forced to seek sharply increased State funding for its residential vocational programs in 1981-82. Similarly, community based employment programs which relied almost exclusively on federal grant funds are also experiencing funding cuts, especially in CETA grant programs. For the years 1978-1982 over $9.7 million was allocated for community based employment programs. Appendix Table C-1 shows the funding sources and totals for both facility and community based vocational/employment programs for 1978-1982.

Scope of Vocational Training

The division operates a wide variety of vocational skills training programs within its facilities. Secure centers, training schools and limited secure facilities offer a wider selection of shop-type courses. Camps and START centers generally have a more limited selection of shop courses. The availability of skills training classes at a facility is often determined by a number of factors: funding, space availability, ages of youths and their length of stay, qualified staff and overall facility purpose. For example, more secure facilities offer concentrated class training as a central part of their vocational programming since other alternatives such as community work experience or community training programs are not possible.

As of March 31, 1981, 1,067 youths in 16 DFY residential facilities participated in vocational skills training classes in 23 different programs. Whether all youths in these facilities participated in vocational skills training is unknown since youths are allowed to register for multiple courses. This is apparent in a number of facilities where the number of registrants exceeds the population of the facility (e.g., Masten Park, Tryon Boys, Camp Cass and Great Valley). In most facilities, however, youths generally must take at least one vocational skills training class or must be engaged in some sort of work experience program. In only one facility--Goshen--it appeared that a large number of youths (26) were not participating in either a skills training or work experience program.

Effect of Vocational Programs

Vocational programming for DFY youths in secure centers, training schools, limited secure centers, camps and START facilities is generally comprised of three elements: assessment, work skills training and work experience. However, the types of assessments given, work skills training and work experience offered vary among the facilities. The following analysis focused upon both the program offerings and the differences found in the facilities.

Youth Assessment. The DFY Employment Unit used a number of assessment instruments to measure the work behavior characteristics, attitudes and interests of youths at the time of facility admission, after participating in a vocational program and on leaving the facility. According to DFY this series of assessment tests serves two purposes: (1) to determine a youth's vocational strengths and weaknesses so that the vocational and child care staff can develop an individual employability development plan and, (2) to provide the central office employment unit staff with a means for measuring program effectiveness as a change agent.

The most comprehensive vocational assessments are conducted in secure facilities and training schools. These facilities evaluate each youth using several methods: Jewish Employment Vocational Services Assessment System (JEVS), DFY's employment skills assessment battery, personal interviews with vocational specialists and review of individual case records. The remaining DFY facilities generally use DFY's Employment Unit assessment battery, administered by a vocational specialist, to assess a youth's needs. Where a vocational specialist is unavailable, the assessment tests are usually not administered.

Program Evaluation. DFY's Employment Unit has conducted several evaluations of the youth employment assessments given in the division's facilities. As a result of these studies, the unit has been able to measure the employment characteristics of youths to determine whether any positive changes occurred as a result of program participation.

The results of one study conducted in 1979 assessing 994 youths in 19 facilities and seven urban job development programs are shown in Table 15.

The 1979 study indicates that DFY youngsters fall below accepted minimal competency levels (as defined by representatives of education and industry) in job knowledge and job seeking skills. DFY youths also scored below other groups of youths (CETA and Neighborhood Youth Corps) who would be competing for the same types of jobs.

As part of its vocational education evaluation program, DFY's Employment Unit requires that posttests be administered to youths who have been in a facility for at least four months prior to release or transfer to another facility. The purpose of posttesting is to measure changes in a youth's attitudes in relation to employment and job seeking skills abilities. For four of five youth measurements, DFY evaluations indicate that youths benefit from their participation in facility and community employment programs as seen in Table 15. A DFY report summed up its findings on vocational training and employment programs with the following statements:

Table 15

DFY Vocational Assessment and Posttest Results for DFY Youths
1979

Test Category (Range Score)[a]	Pretest Mean Scores			Pre-Post Changes in Means
	DFY Clients	Competitive Group	Accepted Minimal Competency	DFY Clients
Vocational Abilities				
Job Knowledge (1-30)	21.1	22.9[b]	26.0	NA
Job Seeking Skills (1-17)	10.7	12.0[b]	15.0	+1.3
Attitudes				
Optimism (4-16)	12.4	12.2[c]	na	+1.2
Self-Confidence (4-16)	12.2	12.4[c]	na	+0.8
Unsocialized Attitude (8-32)	21.5	22.1[c]	na	+2.1
Locus of Control (8-32)	22.9	NA	na	-1.1
	(N varies for each category from 930 to 994)			(N varies for each category from 139 to 144)

[a] Ranges go from low to high.
[b] CETA Youths.
[c] Neighborhood Youth Corps Enrollers.

NA-Not available.
na-Not applicable.

Source: DFY Third Interim Report on the Evaluation of Employment and Training Programs, December 1, 1979.

> What can be said with a high degree of certainty at this point [February 1980] is that predominately positive and statistically significant change is occurring within the programs. . . . Thus, the positive changes in these measures of program objectives are very likely to positively impact the employment prospects of youth.[9]

Work Experience Training

In the more secure facilities, federal funds have been used to expand vocational staff specialists and work crew supervisors and to pay youngsters an hourly stipend to perform certain on-grounds work. In the less secure facilities, similar use of federal funds was made and, in addition, youths had opportunities for participation in community work experience programs. In general, facility-based work experience programs ranged from on-grounds paid and supervised work experience to simple career guidance and job readiness training.

Work experience participation in facilities is concentrated in the same five areas as vocational skills training: building and grounds maintenance, food service, woodworking, building trades and auto body/mechanics. As mentioned previously, 66 percent of DFY youths showed no career interest in outdoor work but preferred work that would lead toward professional type positions. Therefore, grounds maintenance work experience for some youngsters may just be confirming their inability to reach their aspirations. However, achievement of such employment aspirations is, at best, very difficult for youths with low reading and math abilities. Whether DFY's work experience programs, which reinforce lower career expectations, is outweighed by the benefits a youth receives from real work experience is not clear.

Similar to vocational skills training programs, work experience programs within the facilities vary considerably. Not all facilities have work experience programs due to a lack of funding, lack of space or the ages of the resident youths. Several facilities have applied different concepts to structure their work programs. For example, Camps MacCormick, Great Valley and Brace (and to a lesser extent Industry) try to offer some work experience or work exploration (usually non-paid low intensity supervised work) in areas in which the youth is currently enrolled in a vocational skills training shop class. In most facilities, however, the vocational skills training and work experience program for youths are not necesarily related. Some programs, such as the production shop program offered at Masten Park, are attempting to introduce more realistic factory-type work production programs.

Community Based Employment and Training Programs

DFY's community based employment and training programs are designed to enhance the employability of youths and to increase the rate of youths' employment. All DFY youths currently residing in community based facilities, in aftercare status or assigned to DFY by the courts, are eligible for program participation unless an age restriction exists. Since most of these programs are federally funded and are open to various youths, DFY youths must compete with non-DFY eligible youths for an available program slot. As shown in Appendix Table C-1, programs funded from 1978-1982 have primarily been aimed at youths in major metropolitan regions of the State.

Community based employment and training programs are generally of two types: in-school and out-of-school programs. DFY in-school employment programs have been

designed to provide some paid job-experiences while encouraging the youth to stay in school. Generally, the choice of work includes office work, education aides and building and grounds maintenance in public or private organizations. Youths are paid the minimum wage for several hours of work weekly. Since 1977, when the community employment programs began receiving most federal funding, the division claims that 963 youths have been served with over 70 percent remaining in school.

Programs in upstate urban areas generally have relied upon DFY Youth Service Team staff and DFY employment staff specialists to place a youth in a job-readiness program. In New York City, DFY employment staff work with various public and private manpower programs to provide necessary services for DFY youths. According to the division, this program for the three years ending June 1980 had worked with 640 youths. Of these 429 were either placed in jobs or otherwise positively terminated (i.e., went into school, etc.) for a positive termination rate of 67 percent.

LCER's questionnaire survey sent out in July 1981 sought information on the vocational program activities of DFY youths residing in group homes, YDCs and the Buffalo Urban Center. The survey requested two types of information: employment training and work programs' participation of each youth and whether the youth was employed as of July 1981.

Community Based Participation. The LCER survey found that the majority of youths participated in one or more employment training, vocational skills instruction or job readiness programs while residing in a community based facility; 60 percent of center youths and 52 percent of youths in homes had participated. Youths in homes relied much more upon summer employment and CETA programs than did youths residing in the centers. Therefore, group home youths are much more likely to experience the impact of federal cuts in the CETA program than center youths.

As one might expect, the older the youth the more likely that he/she participated in a vocational training program. For example, 73 percent of those over 17 years of age residing in a group home participated in a program compared to 68 percent of center youths 17 years of age and under. Over 70 percent of youth participants in homes and centers were in a program from one to ten weeks.

One surprising result of the survey showed that group home youths residing in smaller metropolitan regions were much more likely to have participated in a vocational training program than youths in a larger metropolitan region: 63 percent to 39 percent. Reviewing the number of community based employment programs funded through DFY that have been aimed at the larger metropolitan areas, one would think the division would be more successful in placing youths in programs located in the major metropolitan areas based on the assumption of greater employment opportunities in such areas.

Youths residing in the smaller or rural metropolitan areas also were more likely to be employed during July 1981 than were youths in most large metropolitan areas. Overall, 48 percent of community based youths were working at the time of the LCER survey. Table 16 shows the breakdown of employment according to the type of community facility of residence.

Types of Employment. Employers of DFY youths were primarily public employers. Only 12 percent of youths employed indicated that they were working for private employers. Perhaps because public employment provided most of the employment opportunities, the types of work performed by the youths strongly reflected those

Table 16

Incidence of Employment for
Youths in Community Based Facilities
1980-81 School Year

Status	Homes in Large Metropolitan Regions		Homes in Smaller Metropolitan Regions		Centers		Totals	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Employed	49	39.8	81	53.3	88	48.9	218	47.9
Not Employed	74	60.2	71	46.7	92	51.1	237	52.1
Total	123	100.0	152	100.0	180	100.0	455	100.0

Source: LCER staff analysis of community based survey questionnaire.

positions which were available in the public sector. Of the 218 youths working in July 1981, the types of positions held were:

Types of Employment

Public Works	48	Food Service	10
Summer Work	48	Homemaker	8
Paraprofessional	25	Skilled Trade	6
Office Work	20	Auto Skills	3
CETA	16	Building Trades	2
Unskilled Labor	12	Other	20
		Total	218

DFY facility staff or DFY employment program staff members found approximately 80 percent of these positions. Ninety percent of these youths worked over 20 hours per week.

Summary: Post-Release Follow-up Studies

As part of DFY's Employment Unit review of its vocational and work programs, several follow-up studies have been conducted by DFY staff to determine what effects these programs may have had on the post-release status of youths in aftercare, foster care, or independent living. The focus of these studies was to compare the post-release status of youths who had participated in the enriched vocational and work programs (treatment group) with youths discharged prior to the establishment of these programs (control group). Although all of the studies to date have been hampered by a number of statistical difficulties, two tentative results have emerged:

1. Treatment youths tend to be in school more often than control youths during post-release status. The longer a treatment youth had been in

an employment program the more likely the youth was going to be in school.

2. During the first three month period following release, 82 percent of treatment youths were working for some portion of the period, compared to 59 percent of the control group.

The DFY Employment Unit is currently trying to determine what differences may occur in the post-release status of youths according to the type of facility vocational education/work programs participation. The same study is also looking into relationships between employment program participation and post-release arrest status of youths.

Health Services

DFY's Office of Health Systems was established in 1976 to monitor and plan the delivery of health services to youths in its care. The objectives of health services, as stated in the division's Youth Policy and Procedures Manual, are:

--To provide prompt and accurate assessment of the medical, dental and mental health needs of DFY youths.

--To obtain quality medical, dental and mental health treatment services to meet the identified needs for each DFY youth.

--To promote the prevention of health problems and the general maintenance of good physical and mental health through diagnostic and treatment services and through programs of sanitation, personal hygiene and health education.[10]

Assessment Procedures

The first assessment of a youth's health is made by a YST worker at intake. Serious medical problems requiring immediate diagnosis or treatment often are handled prior to a youth's facility placement. For less severe problems, the decision is dependent on whether the necessary health services are available at the facility in which the youth is to be placed. Routine medical examinations for all DFY youths are required at each facility within seven days of admission. Dental examinations are required within two weeks and psychological assessments are made within three weeks. The intake assessments may be waived for youths who have had recent medical, dental or psychological examinations.

The purpose of the health assessment is to identify the needs of each youth. The division believes that the value of medical treatment goes beyond the alleviation of a medical problem--good health care is an important factor in a youth's rehabilitation.

> The delivery of quality health services is not simply an end in itself but a recognition of the fact that untreated medical, dental and psychiatric/psychological problems can be significant contributors to antisocial behavior. Examples of this fact include hearing and vision impairments, learning disabilities and disfiguring physical conditions. Providing good health services can thus directly facilitate the attainment of a successful outcome of a youth in program.[11]

Delivery of Services

Two problem areas which have hampered the delivery of health care services during the past several years are the availability of qualified medical personnel and the administration of medications to youths by non-licensed facility staff. These youths receive treatment through a combination of physicians' assistants, nurses, contract medical services and trained facility staff. Based on studies by DFY, an estimated 25 percent of youths in residential programs require more than routine medical, dental, or psychological services.

A low medical fee reimbursement schedule, medical staff vacancies and the rural location of some facilities adversely affect the provision of health care. To offset DFY medical staff vacancies, the division has contracted with local clinics for comprehensive ambulatory medical, dental and psychiatric services. Since 1977 Industry and Rochester group homes have contracted with the Genesee Health Service for medical services, and DFY facilities in Buffalo recently contracted with the Buffalo Center for Comprehensive Community Services to provide health services on a prepaid basis.

The problem of how to administer medications when a licensed medical person is not available has plagued the division for years. This situation arises when a youth needs medication in a facility where continuous nursing coverage is not feasible. DFY has had to authorize certain non-licensed facility staff members to administer the drugs. A July 1979 DFY study found that 197 youths, or 12.7 percent of DFY's population at the time, were receiving medication.[12] This study also found that just 56 (28.4 percent) of the 197 youths resided in facilities without nurses or physicians' assistants.

Handicapped Youth

Handicapped youths may have many types of physical and mental limitations.* Youths with histories of juvenile delinquency often exhibit one or more handicapping conditions. A 1977 U. S. General Accounting Office report specifically linked juvenile delinquency with handicapping conditions as follows:

> Growing evidence, being established by experts in education, medicine, law enforcement, justice, and juvenile corrections, indicates a correlation between children experiencing academic failure (learning problems) and children demonstrating delinquent behavior patterns. This evidence further indicates that children with learning problems run a risk of turning to delinquency and crime to find the success they failed to achieve within the public schools.[13]

National statistics indicate the high prevalence of handicapping conditions in many states. Juvenile delinquent youths classified as learning disabled (LD) are very much in evidence:

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*Names of these handicapping conditions which are used to describe handicapped adolescents are: trainable mentally retarded, educable mentally retarded, learning impaired, severely speech/language impaired, visually impaired, partially sighted, emotionally disturbed, physically handicapped, autistic and learning disabled.

Colorado Correctional Facility for Boys--90.4 percent LD; Oklahoma--81 percent of JD's screened determined to be LD; Virginia--57 percent of JD's sceened determined to be LD; West Virginia--53 percent of sample population of RFK Youth Center found to be LD; Rhode Island--70 percent of youths at Training Schools had measurable learning disabilities; California--80 percent of youths seen by Sonoma County Juvenile Court were reading below grade level; overwhelming majority had specific learning disabilities.[14]

State/Federal Regulations

State and federal statutes specify the services that must be provided all handicapped youth. New York State Education Law, Sections 207, 4403 and State Education Commissioner's Regulations, Parts 116 and 200 require DFY to identify youths with handicaps and/or handicapping conditions and provide them with an appropriate educational program. Federal law (PL 94-142, Education for All Handicapped Children Act of 1975) mandates the services states must provide the handicapped to receive federal funding.

In response to State and federal mandates, DFY, as of November 1981, has established 12 Committees on the Handicapped (COHs): five regional COHs (two in Region II) and one COH each at Goshen, Brockwood, Masten Park, Highland Secure, Harlem Valley, Industry and Tryon. The functions of the COHs are to identify and assess the needs of handicapped youths in all DFY facilities and to ensure that proper educational services are available. Facility directors at all facilities without a COH are responsible for identifying suspected handicapped youths and one of the 12 COHs is required to review all materials on any suspected handicapped youth.

Prevalence of Handicapped Youth in DFY Facilities

For the past three years DFY has been attempting to upgrade its ability to identify the numbers and types of handicapped youths under its care. From September 1, 1979 to August 31, 1980, DFY identified 110 youths with handicapping conditions and another suspected 711 youths with such conditions. During the nine month period September 1, 1980 to May 31, 1981, the division diagnosed 208 handicapped youths. Most youths diagnosed as handicapped were either emotionally disturbed, learning disabled or educable mentally retarded.

Another survey conducted by the NYS Office of Mental Health in April 1978, found that one-third of DFY youths exhibited some form of mental illness. Of the 332 youths surveyed by OMH Mobile Mental Health Teams, 109 had serious psychiatric problems, 30 youths had IQs between 50 and 69 (mild mental retardation) and another 14 youths had IQs of exactly 70. The OMH study concluded that most of the 109 youths in need of mental health services were not classically psychotic but appeared to have severe behaviorial problems. It also concluded that there could be significant overlap in the characteristics of youths placed in DFY facilities and in OMH's children's psychiatric centers. "Naturally there are individuals who are clearly appropriate for one system and not the other, but there are apparently a good number of individuals who could equally well be placed in either type of facility depending on the attitude of a judge or other factors independent of the specific case."[15] (DFY has three facilities specifically for children with emotional or psychiatric problems: Rochester Enriched Residential Treatment Center, ten beds; Auburn, 18 beds; and the Bronx Long Term Treatment Unit, 18 beds.)

Youths With Learning Disabilities

Remedial efforts for DFY youths with certain learning disabilities have been emphasized by the division. These disabilities manifest themselves in ways that adversely affect a youth's perception, integration and verbal and nonverbal expression. These youths generally demonstrate severe underachievement in one or more academic areas: oral language expression, reading, spelling, writing or mathematics.

DFY has hired special education teachers, provided resource room programs especially for students with learning problems, and in 1977 established an Individualized Learning Center (ILC) at Highland. In 1980 DFY also appointed a Special Education Coordinator in the central office.

The ILC was established to deal with up to 20 youths (ten boys and ten girls) whose learning disabilities and disruptive classroom behavior prevented them from functioning in traditional group programs. The concept of the ILC is based upon a total living/learning environment. Certified special education teachers, called educators, perform the roles of teacher, caseworker, recreation leader, arts and crafts teacher and counselor. Educators interact with the youths on a one-to-one basis throughout the day and act as adult role models to guide the youths toward independent living. A 1978 DFY study evaluating the effectiveness of ILC staff and the ILC program found that 78 percent of ILC staff rated their own work as quite effective while 67 percent of ILC staff gave an effective rating for the overall program.[16]

For youths with learning disabilities whose classroom behavior is not disruptive or in need of the intensive service provided at the ILC, DFY has established resource room programs at three facilities: Tryon, Cass and Masten Park. Each resource room is designed to handle up to 18 youths per week for a minimum of one hour per day to a maximum of one-half school day, five days a week. The total number of students assigned to the resource room at any one time is not supposed to exceed four, depending upon the students' problems and teacher availability. Students are provided extensive instruction and/or remediation by certified special education teachers. Youths are assigned to a resource room as necessary to meet their needs but are mainstreamed to a regular program as soon as possible.

Conclusion

Despite the efforts of DFY to identify and meet the special needs of its handicapped youths, the division acknowledged that, as of June 1981, it was not in full compliance with all State and federal mandates for the handicapped:

> In many respects, the Division is still out of compliance; most of the suspected handicapped youth assigned to the Division each year go unidentified, unassessed and unserved. Therefore, the Division's legal liability is clear; impartial hearings, lawsuits and the loss of all federal aid are possible. . . . Since there is little likelihood of an increase in federal aid, the Division cannot rely on other than state dollars to provide the needed staff resources to meet the special education needs of its clients. Until that aid is forthcoming, the Division will remain in large part out of compliance.[17]

Counseling

Counseling youths is considered an integral part of DFY's facility rehabilitation program. The principal goals are:

--To provide the necessary services for helping youths in their efforts to effectively mediate the conflict between inner needs and external demands and

--To help facility management develop and maintain a milieu and atmosphere that is conducive to treatment.

YST workers are assigned to youths from intake through aftercare. The YST Counselor is responsible for maintaining contact with the youth during his period of DFY residence and is expected to attend case reviews for the youth at the facility. Youths are assigned a Youth Division Counselor from the DFY region they are referred from.

In addition to the YST counseling staff, the facilities are staffed with counselors and para-professionals and Youth Division Aides (YDAs). The YDAs constitute a significant portion of the facilities' personnel. While intended to be used as an integral part of the youth counseling program, it appears that YDAs are utilized in a number of different ways by the facilities--often to supplement needs in other program areas.

Chapter Summary

● DFY has not developed program models at individual facilities related to the types of youths intended to be served at those facilities.

● Opportunities to participate in Title I remedial math and/or reading programs by DFY youths vary among the facilities. Between 1979-80 and 1980-81 Title I funds allocated to DFY community based facilities decreased 63.1 percent, including the elimination of all such funding for urban homes.

● Based on pre-post norm referenced test data obtained from DFY facilities, 82.9 percent of the youths made progress in reading and 74.8 percent made progress in math as measured by post-test data. However, using the expected achievement of a ten percent increase in grade level for each month in the remedial program, 51 percent of the youths showed improvements at or above expected levels.

● DFY has not mandated that facilities use post-testing with norm referenced tests to measure the progress of youths in remedial math and reading. Consequently little use has been made of test data for evaluation purposes.

● School attendance among DFY youths in community based facilities was high during the 1980-81 school year. Attendance at school was noted for 81.5 percent of the youths in centers and 74.1 percent of the youths in residence at urban homes. Of the youths in community based facilities not attending school, 63.8 percent were admitted to a community based facility during the last quarter of the 1980-81 school year. LCER found a direct correlation between length of residence in a community based facility and the incidence of school attendance.

● Youths in community based facilities at the end of the 1980-81 school year had significant deficiencies in math and reading. In reading, youths in urban homes were an

average of 2.9 years behind grade level while youths at YDCs were 3.0 years behind grade level. In math the averages were 3.2 and 3.6 years behind grade level, respectively.

● For the 1980-81 school year approximately 57 percent of youths in DFY community based facilities completed their assigned grade level. There appears to be a direct relation between completion of assigned grade level and attendance at a public or alternative school, and placement in the school during the first part of the school year. LCER found no relationship between reported years behind grade level in reading and math and completion of assigned grade in school.

● Youths in DFY residential facilities are below accepted minimal competency levels in job knowledge and job seeking skills. However, based on tests administered to youths after participation in DFY employment and training programs, there appears to be positive change among youths in job seeking skills and attitudes.

● DFY has obtained federal funds for employment and training programs for youths in community based facilities. DFY claims to have served close to 1,000 youths through these programs since 1977 with a 70 percent in-school retention rate. In New York City DFY claims to have served 640 youths between 1977-78 and 1979-80 and to have achieved a 67 percent positive termination rate-- either placed in jobs or returned to school.

● During the 1980-81 school year over 50 percent of DFY youths in community based facilities participated in one or more employment training, vocational skills instruction or job readiness programs. Participation in these different types of programs varied by age. Youths over 17 years of age were more likely to participate in vocational training programs--73 percent of those in urban homes and 68 percent of those in YDCs.

● Approximately 25 percent of youths at residential facilities require more than routine medical, dental or psychological services. One of the major problems confronting DFY in providing services is the availability of qualified medical personnel and the use of non-licensed facility staff to administer medication to youth. To offset these problems DFY contracts with local clinics to provide necessary medical services. According to DFY, in July 1979, 197 youths (12.7 percent of the population at that time) were receiving medication. Of these, 56--28.4 percent--resided in facilities without a nurse or physicians' assistant.

● As of November 1981 DFY had established COHs in each region and one at each of seven facilities. From September 1, 1980 through May 31, 1981, these committees certified that 208 youths had handicapping conditions. A previous survey prepared from September 1, 1979 through August 31, 1980 identified 110 youths with handicapping conditions and suspected a total of 711 other youths had such conditions. However, DFY has not achieved full compliance with State and federal mandates to serve the handicapped because of the lack of adequate resources.

IV DFY ORGANIZATION AND MANAGEMENT

DFY is responsible for administering a complex program. As the "focal point for the juvenile justice system"[1] in the State of New York, DFY has a high degree of visibility and is subject to public opinion and pressure. These pressures have been relatively acute in recent years with the notoriety surrounding juvenile crimes and changes in the laws dealing with youths convicted of serious offenses and remanded to the care of DFY. DFY attributes some internal changes to pressures from external sources:

> Over the past several years this system, and the Rehabilitative Services Program, have undergone significant change as old issues have been addressed and new ones have arisen. During this time the Division has been under attack from those who contend that too much attention is paid to the rights of youth and from others who feel that such rights are neglected; from critics demanding that youth facilities be de-institutionalized to those who contend that the de-institutionalization process has gone too far; from those who say that public safety concerns have been neglected by DFY and from those who feel that DFY has been overly concerned with such issues.[2]

The organization and management changes which DFY has initiated in recent years underscore its efforts to construct a more effective system for the delivery of rehabilitative services. This chapter focuses on the management and organization of DFY--particularly the changes that have been implemented and the extent to which they have served to improve DFY rehabilitative services administration and operations.

Organizational Strategies and Perspectives

The major organizational changes that DFY has undertaken for its rehabilitation services from 1976 through 1981--and which have important implications for the management of its residential facilities--include:

--Establishment of regional management in 1976;

--Establishment of a Program Assistance and Review Unit in 1978;

--Centralization of secure facilities management in 1981;

--Reorganization of the Division of Rehabilitative Services into two offices in 1981: Program Services and Rehabilitation Operations; and

--Establishment of a Program Utilization and Management Assistance Unit within the Office of Rehabilitation Operations in 1981.

Regional Management

The rationale for a regional management/administrative structure was set forth in a letter to the New York State Department of Civil Service. The need for a regional structure was emphasized due to the basic shift in the division's orientation toward community based programming and because rehabilitative services had been carried out in a " fragmented, less than comprehensive fashion."

These activities were separated into various DFY units. In the past this approach was somewhat satisfactory in that the majority of DFY placements were in training schools. The development of community based programs as the division's main thrust, based on the theory that better diagnosis will support smaller facilities and a more community based environment for serving the needs of the DFY youths, demands new approaches to the problems which this agency faces. Regionalization will provide the elements to meet this new policy direction.[3]

In its 1980-81 budget request, DFY reaffirmed the importance of the regional structure as a mechanism for improved delivery of services to youths:

> At the heart of DFY's increased ability to provide individualized attention and response to the problems generated by individual youth was the reorganization in 1976 to a regional configuration. Before this point, the service delivery system in DFY was fragmented and unresponsive internally. There were a series of program supervisors and administrators who were responsible for the widespread network of DFY facilities and a separate bureau of intake and aftercare. The structure was such that even individual case problems could be resolved only at the Deputy Director level. The regionalization of our service delivery system was based on the premise that it would provide more responsibility and accountability at the local level.[4]

The respective DFY regions, established as a result of the initiatives taken in 1976, are reflected in Map 1 in Chapter I. Overall, the regions have been designed to provide for the decentralization of the "intake, the residential treatment program, and aftercare" by establishing YSTs within each of the regions. Youths moving into the system are assigned to a YST case worker who is responsible for the youth from intake through aftercare:

> Briefly stated, intake, the residential treatment program, and aftercare will be decentralized and regionalized. Youth Service Teams will assure a continuum of services for each youth as he/she moves through these three treatment phases. The teams involvement will be enduring. Youth will not be passed in turn from one phase of their placement to another phase without treatment team staff being totally knowledgeable of, involved in and accountable for the youth's needs and progress.[5]

The creation of a regional structure received impetus from DFY's implementation of community-based programming.

> The key developments resulting from the adoption of community-based intervention philosophy were the creation of four geographic regions, and districts within regions, across the state. This organizational change permitted the subsequent development of intake, processing, and programming resources intra-regionally. Resources and services were not manipulated according to the specific characteristics of youngsters and communities within districts and regions rather than according to the state's aggregate characteristics.[6]

Secure Facilities Management

DFY has gone through at least two major changes in its efforts to maintain equilibrium in the management of secure facilities. These shifts are attributed by DFY to

the changes in program emphasis within rehabilitative services-- particularly with respect to programs for JOs.

As recently as February 14, 1980, the Deputy Director for DFY's Rehabilitative Services directed that the management of secure facilities be integrated into the DFY regional structure:

> Now that regionalization is solidly in place, I feel that we are in a position to integrate secure services into the present regional structure. Effective immediately, the administrative responsibility for secure centers will be assumed by the regional administration in which the secure center is located.[7]

However, decentralization of secure centers was short lived (it is not clear that its implementation was ever effected) as DFY requested establishment of a Secure Facilities Management Unit in a letter to the New York State Department of Civil Service dated September 29, 1981. A major impetus for the "recentralization" of secure facility management appears to have come from a court order, referred to as the "Crespo decision," requiring DFY to move JOs from Spofford's secure detention center within a ten day period. (DFY is appealing the decision.) As stated in DFY's request for establishing the unit:

> The Division for Youth is requesting the establishment of a Secure Facilities Management Unit. This Unit is absolutely essential to the proper supervision and management of secure programs. There have been a number of factors which necessitate the request for this unit. The new legislation redefining and further restricting the handling of juvenile offenders has created the need for a specialized unit to handle a whole new range of issues. The Crespo V. Hall court case has put enormous pressure on the Division to place the "juvenile offenders" (JOs) being held at local secure detention centers (especially Spofford Detention) into existing or "new" programs. In fact, the Division is required by court order to place these youth in our programs within ten days of their being sentenced or the Division is considered to be in violation of a court order. The placement, treatment, movement and eventual release of juvenile offenders and youthful offenders (YOs) in programs differs significantly from Title II and III Juvenile Delinquent and Persons in Need of Supervision (PINS). Finally, with the increased bed capacity and number of youth being adjudicated as JOs and YOs, the task of developing new programs and helping implement more "security" type programming has increased the need for a separate unit for the management of secure programs.[8]

This request resulted in the establishment of the Secure Facilities Management Unit in DFY's central office within the Office of Rehabilitation Operations. Actual supervision of the secure facilities is the responsibility of the Secure Facilities Management Supervisors.

This unit determines the placement of youths in secure facilities and is responsible for developing policies related to the secure program. Among the policies being developed are:

--Temporary release,

--Discipline and good time,

--Standards of behavior,

--Contraband goods,

--Warrants and AWOLS,

--Restitution,

--Legislative recommendations,

--Liaison with the Division of Parole,

--Transportation,

--Security.

Reorganization of Rehabilitation Services

During 1981 DFY implemented a reorganization plan for Rehabilitative Services which included the establishment of two offices each of which is headed by a Deputy Director: Program Services and Rehabilitation Operations. The organization for the Office of Rehabilitation Operations is included in Appendix D and the organization of the Office of Program Services is included as Appendix E. The functions assigned to Program Services were previously under the Division of Rehabilitative Services and include the following:

--Counseling,

--Health,

--Education,

--Employment,

--Planning,

--Program initiatives,

--Training.

As stated by DFY officials to LCER staff, the expressed purpose in establishing the Office of Program Services was to remove the functions from day-to-day operational concerns allowing for greater focus on program planning and policy development.

The Office of Rehabilitation Operations has responsibility for supervision and management of DFY residential facilities which is exercised through the regional structure and the Secure Facilities Management Unit. Rehabilitation Operations also is responsible for monitoring local detention services.

In establishing the Office of Rehabilitation Operations, it was DFY's intent to move from direct supervision of facilities to establishing standards and procedures, goals and developing policy:

The Office of the Deputy for Operations will absorb most of the operational management functions which now reside in the Office of the Deputy for Rehabilitative Services. This new Office represents a major realignment of function, shifting from direct supervision to functions of setting standards and procedures, establishing goals and guidelines and acting as the major policy body with respect to direct care operations. Where regional administration...will handle most day-to-day management functions by exercising direct authority at the local level, the office of Operations Deputy will exercise functional authority over issues such as:

--personnel allocations and staff assignments;

--client population and flow;

--program policy and procedures;

--physical plant standards and management; and

--program monitoring and review.[9]

Central Office Oversight and Facility Coordination

The other two significant central office changes related to Rehabilitative Services were the establishment of the Program Utilization and Management Assistance and Program Assistance and Review (PAR) units--both within the Office of Rehabilitation Operations. In both cases the underlying premise for the functions assigned to these units was the need for more central control over facility management, including coordination and review of programs and operations. PAR previously reported to the Deputy Director of Rehabilitation Services. The unit was incorporated into Program Utilization and Management Assistance as a result of the 1981 reorganization initiatives.

Program Utilization and Management. The need for a Program Utilization and Management unit was set forth in DFY's budget request for 1980-81. The need, as expressed in this budget submission, was due to the lack of central staff to "be available for the development and review of policy and procedure initiatives and their translation to field staff."[10] Acknowledging that this was essentially a regional responsibility, DFY identified the need to provide a back-up to check on regional administration. "While primary responsibility in this area lies with the regional structure, it is necessary to provide a back-up and independent check on these at times."[11]

The functions of the unit were outlined in a letter from DFY to the New York State Department of Civil Service dated March 30, 1981:

--Operations Programs Assistance and Review--Coordinated site visits of facilities by teams of two unit staff, each of which will supervise a larger group of appropriate agency staff assigned to conduct an intensive, comprehensive analysis and assessment of the facilities operations. The Assistance and Review team spends a minimum of one week to ten days at the facility being reviewed to complete a thorough review of its operations, problems, program services and policy compliance.

--Alternative Treatment Services--Supervision, control and monitoring of all foster care, independent living, specialized individualized crisis, tutorial and assessment contractual treatment services for DFY placements on a statewide basis.

--Client classification system--review and analysis of resident population flow; youth parolees, juvenile offenders, juvenile delinquents and other categories of adjudication vs. bed projection and program utilization within operational facilities.

--Inter-regional placement coordination.

--Data reports--construction, frequency, format/design, ratio of cases to staff, etc.

--Client direct care duration analysis (residential and non-residential).

--Management concerns directly related to program operations such as staffing deficiencies, capital construction needs, coordination between Region Directors, policies formulation and operations statements development and distribution.

--Interpretation of statutory, legal, regulatory changes, stipulations, findings, and determination of impact upon operations. Implements appropriate notification, operational changes.

--Liaison with Criminal Justice Agencies at various levels, legislative committees and child care agencies/groups.

--Intra-agency coordination with various staff resources units, programs services of employment, education, medical, administrative and local services.

--Supervision of Investigation of Statewide Child Abuse/Maltreatment System procedure for all DFY facilities and foster homes.[12]

Program Assistance and Review. As noted above, the Program Assistance and Review unit was transferred to Program Utilization and Management Assistance in 1981. The unit was established in 1978 to "coordinate ongoing and indepth program reviews." In a DFY memorandum dated May 4, 1978, which announced the establishment of the unit, the following functions were outlined:

--To identify areas within various Rehabilitative Services programs where programmatic and administrative resources and support are inadequate and to advise appropriate staff of organizational units within the agency where necessary assistance may be obtained.

--To inquire into all aspects (administrative and programmatic) of target programs in order to determine compliance with our policies and procedures and to identify existing weaknesses and strengths in both these program operations and in the procedures themselves.

--To identify particularly strong features of various programs under review and to suggest means by which these strengths might be utilized and incorporated in other DFY programs.

--To recommend, where appropriate, corrective action to improve identified weaknesses and/or to remedy existing problems.

--To recommend to the Deputy Director for Rehabilitative Services, the Associate Deputy Director, and the Regional Directors appropriate revisions to existing policies and procedures and/or the promulgation of new policies and procedures necessary in order to provide for the orderly operation of our programs.

--To review the effectiveness of recommended actions when implemented.[13]

Overview of Organizational Problems

DFY has undergone a number of significant organizational changes within the past few years. The recurring rationale set forth in proposals for the various changes that have been made is the need to enhance DFY's ability to manage and administer its facility operations. However, in the process of making these functional realignments, DFY has not established an organization to facilitate the achievement of its goals: improved programming and facility management. Rather, the pattern that has emerged is somewhat of a patchwork design leaving the division straddled between a regional administrative system and central management control--without a clear commitment to either. As a result, DFY failed to establish a coherent organizational strategy but, rather, has established a system with duplication of functions and effort, confusion in management and supervisory responsibility, fragmentation of responsibility for program development and an unstructured approach to communication and management control. These problems can be addressed in the framework of two major issues:

--Lack of coordination and policy development by central office rehabilitation services staffs and

--Failure of DFY to complete implementation of the regional structure in relation to adequate staffing and evidence of a gradual withdrawal from regional administration.

Central Office Operations

DFY's central office rehabilitative services operations were reorganized into two major divisions: Program Services and Rehabilitation Operations. As noted above, this reorganization did not result in the establishment of new functions. Rather, the intention was to remove program planning and development from DFY's rehabilitative services related to facility management and operations.

In reviewing the functions of DFY's central office rehabilitative services operations, LCER identified the following major concerns:

--Duplication of functions performed by various central office units and

--Inadequate management coordination and control.

Duplication of Functions

A significant problem in DFY's central office is the overlap and duplication that exists related to monitoring, evaluating and reviewing facility programs and operations

and the degree to which this overlap extends to functions performed by staff within the regions and at the facilities.

Within the Office of Program Services, four of the units--Counseling, Education, Employment and Health Services--are defined in the office's statement of goals and objectives to have

> broad based programmatic responsibility. This responsibility includes insuring the provision of quality program services across DFY regional and administrative lines. To accomplish this, staff shall utilize available data, data analysis, facility policies and procedures and audits by program services or other units, and to develop models for change in conjunction with appropriate deputies, district staff and facility staff.

Programs initiated at the central office level are intended to impact on facility operations--the purpose of such programming being to improve rehabilitative services. The issue, relative to program formulation, implementation and administration, is the relationship between the central office Program Services units and the facilities and the extent to which roles and organizational relationships are clearly defined. LCER's staff arrived at an understanding of central office Program Services staff and facility relationships by reviewing the types of issues addressed by Program Services staff in field visits to facilities. Issues identified by Program Services are important to the extent that they define the relationship that exists between Program Service staff and the facilities.

To obtain additional information on the types of issues raised by central office staff, LCER reviewed samples of facility contact reports prepared by Program Services units. Program Services staff made 239 visits to DFY residential facilities during the 1981 time periods reviewed by LCER staff. These included 87 facility visits by staff from Youth Employment and Training, 38 from Health Services, 99 from the Education unit and 15 from Counseling.

After reviewing material prepared by Program Services staff on facility contacts, issues were identified and grouped according to the following categories:

--Administration: Issues related to administrative policies, systems and procedures;

--Supervision: Issues related to the manner in which programs are administered;

--Technical Assistance: Issues related to providing assistance in resolving technical program procedures; and

--Program Implementation: Issues related to the manner in which facility programs are made operational.

Exhibit III provides a description of the types of issues identified by LCER after reviewing the Program Services contact reports and classifications. As reflected in Exhibit III there is an overemphasis on issues related to program administration, supervision and implementation. Generally the types of issues raised by Program Services staff are questions that are of direct concern to the facility staff and regional personnel--and of immediate concern to the District Supervisor. Given a Regional/District framework for managing facilities, these, with the exception of technical assistance, are issues that should be raised and resolved through the District Supervisor under guidelines prepared by Program Services staff.

Exhibit III

Functions Performed by Program Services Staff During Facility Visits*

BEST COPY

Functions	Education	Employment and Training	Health Services
Administrative	Review space layout and physical appearance of Title I labs;	Reviewed construction blue-prints for a new vocational training building at a facility site;	Reviewed purchases made for a facility nursing station;
	Review expenditures for Title I program.	Discussed implications of reduction in funding for vocational training shop plans;	Made arrangements to participate in interviewing nurses;
		Reviewed position descriptions for a new vocational education position.	Identified various problems at a facility related to staffing issues, including elimination of a position of vocational instructor, recreation therapist vacancy and the need for additional nursing positions;
		Implemented a centralized filing system for DFY youth in New York City facilities;	
		Reviewed equipment needs for the CETA program;	Assisted in developing an advertisement to recruit physicians' assistants;
		Assisted in completing CETA forms for participating DFY youth.	Identified issues related to intake criteria procedures and recommended the classification of a facility as a JO program.
Supervisory	Review utilization of Title I planning materials;	Reviewed the development of a facility's vocational education program, including procedures, curriculum development, schedules and staffing requirements.	Reviewed food service activities at a number of facilities, including staffing allocations during shifts, menus, dining regulations and food purchases.
	Review and monitor Title I laboratory programs.		
Technical Assistance	Provide training for Title I testing procedures for new math laboratory instructor.	Discussed issues related to utilization of JEVS testing.	
Program Implementation		Discussed implementation of DFY's stipend program;	Assisted in making arrangements to obtain dental and psychiatric services;
		Discussed plans for the development of a facility's vocational education program;	Assisted in developing a plan for shared medical services.
		Met with vocational personnel regarding the development of employment services including staffing and equipment requirements.	

*The counseling unit provided only one facility contact report which was not considered sufficient to determine representative issues related to facility visits.

Source: LCER staff analysis of DFY data.

BEST COPY

The direct line of supervision over facilities, as established by DFY, is through the District Supervisor. This relationship is compromised when Program Services staff is involved--apparently on their own initiative-- in matters of administration, facility staff supervision and program implementation. It also underscores the lack of a clear understanding of the roles and relationships between DFY central office and regional/district/facility personnel. Furthermore, functional and procedural statements for the regional and district offices have not been prepared by DFY--even though the regions were established in 1976.

This does not suggest there is no need for Program Services staff to visit the facilities. However, the visits should be conducted under guidelines that ensure:

--The purpose of such visits are in line with the functions stated for Program Services staff;

--Procedures that support the integrity of the regions where such visits are arranged through district personnel or at their initiative; and

--A clear understanding that initiation of change is the responsibility of the regional/district/facility staff and in that sequence.

Management Coordination and Control

There also is an absence of control over Program Services staff in their relations with facilities. This conclusion is based on the following:

--No procedures have been established to direct and control the purpose of central office staff facility visits and relations;

--No procedures have been established for reporting the results of such facility visits and ensuring the appropriate distribution of reports; and

--No planning is taking place to control the frequency and scheduling of such visits.

Defining the Relations between Program Services and Facilities. Many of the issues of concern to Program Services staff, as reflected in the reports reviewed by LCER, have implications concerning the manner in which facility staff function and the manner in which programs are operated at the facilities. This has overtones with respect to an implied supervisory relationship with facility staff and, indirectly, management responsibility for facility programs. For example, in discussions with LCER staff, regional personnel made references to instances in which Program Services staff communicated directions to facility staff--by-passing both the facility director and regional personnel. While the frequency of such instances was not documented by LCER staff, such occurrences are to be expected given the types of issues that prompt visits to facilities by Program Services staff. Not only do such occurrences undermine the authority of the facility director, but they also underscore weakness in the decision-making process and the need for role clarification particularly with respect to the functions of the district supervisor who is responsible for the day-to-day supervision of facilities within the regional structure.

Dissemination of Information. Evidence of a formal communications policy among different levels and the respective units with programmatic responsibilities is not

apparent within DFY. This is reflected in the inconsistencies in procedures followed by various Program Service staff units.

There are no standards for preparing reports of the nature and results of facility contacts. The Employment and Training Unit has established a standardized format for recording facility contacts--although LCER staff did not find contact reports for all recorded facility visits. Health Services and Counseling have no established procedures for reporting the purpose and results of meetings at facilities. While the counseling unit was requested to furnish samples of such contact reports, only one such contact report was made available to LCER staff. In addition, there is no standardized list for distributing contact reports. Consequently, there is no assurance that copies of reports--when they are prepared--will be sent to facility directors and regional/district staff.

These procedural deficiencies are important in the context of both the existing DFY organizational structure--decentralization of facility supervision through a regional administrative system and central control of planning and review of facility programs. In such a system the need for management control and coordination of activities which impact on facility operations takes on increased importance to ensure coordination of activities at both levels.

Scheduling Facility Contacts. It is reasonable to expect that different facilities may require more support than others, but there does not appear to be an effort to control such visits other than by the heads of the Program Services units. Regional directors indicated in discussions with LCER staff that they were often notified of visits and intra-regional meetings after schedules had already been made. In addition, there has been no apparent effort to give each of the regions a relatively consistent degree of support through Program Services on-site facility visits. For example, the concentration of effort among the staff units within Program Services--Health, Education, Employment and Training, and Counseling--is on facilities within Region III as reflected in Table 17. On

Table 17

Facility Visits by Program Services Staff by Region
1981

Region	June 1, 1981 Population		Number of Visits by Program Services Staff									
			Employment and Training[a]		Health[b]		Education[b]		Counseling[b]		Total	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
I	452	21.7	11	12.6	10	26.3	16	16.2	3	20.0	40	16.7
II	434	20.8	12	13.8	8	21.1	15	15.2	3	20.0	38	15.9
III	781	37.5	58	66.7	18	47.4	55	55.6	7	46.7	138	57.7
IV	416	20.0	6	6.9	2	5.3	13	13.1	2	13.3	23	9.6
	2,083	100.0	87	100.0	38	100.1	99	100.1	15	100.0	239	99.9

[a]March-September, 1981.
[b]January - November, 1981.

Source: LCER staff analysis of DFY data.

average, 57.7 percent of the facility visits by staff from these units in 1981 were to facilities in Region III. In contrast slightly more than 37 percent of DFY's residential facility population was within Region III as of June 1, 1981.

Program Services Management Initiatives

DFY appears to be responding to some of the internal problems discussed above. For example, in a letter to LCER from DFY dated December 21, 1981 the need to define staff roles and relationships was underscored:

> ...we have directed our efforts over the past several months toward the completion of goals and objectives, and the clarification of roles and responsibilities within Program Services and between Operations, Administration and Local Services.

DFY's transmittal to LCER included a plan for Program Services staff units for 1982 which is intended to clarify the roles of units within Program Services. As defined in the plan, the units within Program Services would have broad agency-wide responsibilities "to insure a comprehensive system of treatment" and would:

--Identify statewide youth service priorities and needs;

--Plan treatment systems and designs;

--Develop program service models;

--Recommend program service policies, procedures and accountability mechanisms; and

--Provide technical assistance in program service areas.

While the emphasis of the units is on program development and planning, specific procedures for implementation and ensuring coordination of Program Service's staff functions are lacking in the plan. Implementation of the re-defined functions will require development of procedures and policies to reduce problems related to duplication and lack of coordination.

Program Assistance and Review

The need for the central office to undertake in-depth reviews of facility operations and programs was emphasized in a DFY memorandum dated May 4, 1978. While recognizing that the regional structure provided "...centralized Rehabilitative Services management staff the means to be more sensitive and cognizant of the specific needs and problems of individual programs through the Regional and District structure", a need for more intensive reviews of DFY facility operations was identified because "...Regional Directors and District Supervisors lack the resources in terms of the time and manpower to personally engage in and/or coordinate ongoing and indepth program reviews."

While the original intent was to have PAR undertake a review of "...all DFY programs and activities on a regular basis perhaps reviewing each facility at least once every two or three years," only 18 facility programs and operations had been reviewed by the unit between October 1978 and April 1981.

Scope of Reviews

Program reviews are directed by staff from the PAR unit. Teams are formed utilizing both central office program personnel and facility staff assigned to reviews on a temporary basis. To obtain a better indication of the scope of the reviews conducted by the PAR unit, LCER staff reviewed recommendations prepared for six DFY facilities:

Camp Brace
Auburn
START No. 5
Bushwick Center
Brentwood START Center
Goshen Center

The recommendations prepared for these facilities were classified by LCER staff to define the scope of the reviews according to the following categories:

--Administration/program operations,

--Personnel/staffing,

--Housekeeping/custodial,

--Physical alteration/capital construction.

Administration and Program Operations. This group includes recommendations relating to administrative policies, systems and procedures. Examples of these recommendations include:

--Reporting of educational progress should be integrated into the Program Oriented Service Plan recording system and

--Immediate attention should be given to the development of a viable mental health component.

Personnel/Staffing. This group includes recommendations related to staffing patterns, training and employee relations. Examples of these recommendations include:

--Appropriate staff training should be provided in the areas identified in the Employee Relations/Personnel Handbook and

--All staff with supervisory responsibilities should conduct regularly scheduled supervisory conferences with each staff under his/her supervision for the purpose of discussing mutual expectations, job performance, etc.

Housekeeping/Custodial. These recommendations include those relating to day-to-day operations--particularly those related to physical aspects of the facilities' operations. Examples of these recommendations include:

--All emergency lights should be routinely inspected and maintained and

--Food should be served in a more attractive and appetizing manner.

Physical/Capital Construction. This group includes recommendations related to physical changes and capital construction needs at the facility. Examples of these types of recommendations include:

--All roadways and walkways should be resurfaced and

--The review team supports the facility's efforts to obtain adjacent property for the purpose of creating additional outdoor recreation space and/or constructing a gym.

Classification of Recommendations

The PAR unit's review teams prepared a list of 404 recommendations for the six facilities reviewed by LCER's staff. Using the categories listed above, LCER determined that 184, or 45.5 percent, of the recommendations were related to housekeeping/custodial questions; 80-- 19.8 percent--of the recommendations addressed issues concerning personnel/staffing or physical alterations and capital construction. The balance--140 recommendations or 34.7 percent--concerned administration and program operations. The classification of the recommendations for each facility is in Table 18.

The PAR unit was originally constituted to focus on programmatic and administrative issues. This mandate, as reflected in the recommendations for the six facilities reviewed by LCER, has been broadened considerably since the programmatic/administrative review function has been expanded to include housekeeping and physical aspects of facility operations.

Furthermore, the work of the PAR unit has not been translated into a broad agency-wide focus since it has not prepared materials providing program/administrative comparisons among the facilities. This shortcoming is significant if viewed within the context of work being performed by other organizational units within DFY--including functions performed by Program Services personnel, the supervisory/monitoring functions assigned to district and regional office staff and the day-to-day supervisory role of

Table 18

Classification of PAR
Recommendations by Facility
1979-1981

	Classification of Recommendations									
	Administration/ Program Operations		Personnel Staffing		Housekeeping/ Custodial		Physical/ Capital Construction			
Facility	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Total	Percent
Auburn	8	36.4	7	31.8	3	13.6	4	18.2	22	100.0
Brace	23	42.6	11	20.4	17	31.5	3	5.6	54	100.1
Brentwood	32	32.0	12	12.0	47	47.0	9	9.0	100	100.0
Bushwick	40	45.5	10	11.4	37	42.1	1	1.1	88	100.0
Goshen	28	23.3	12	10.0	73*	60.8	7	5.8	120	99.9
START #5	9	45.0	3	15.0	7	35.0	1	5.0	20	100.0
Total	140	34.7	55	13.6	184	45.5	25	6.2	404	100.0

*Includes 25 Recommendations for Fire Safety Compliance.

Source: LCER analysis of DFY data.

facility personnel. Each of these organizational units is performing similar functions in working with DFY's residential facilities.

Regional Administration

The organization that has emerged within DFY does not correspond to the pronouncements the agency has made of the need for a regional administrative system, including:

--The establishment of a Secure Facilities Management program in the DFY central office;

--The establishment of the Program Utilization and Management Unit; and

--The various functions performed by programmatic oriented service units within the Division of Program Services related to monitoring, implementation and degree of supervision.

Contrary to its advocacy of the merits of a regional structure as set forth in its 1980-81 budget submission that, "...the heart of DFY's increased ability to provide individualized attention and response to the problems generated by individual youth was the reorganization in 1976 to a regional configuration," DFY has not fully implemented regionalization and a movement can be discerned to recentralize functions that were implicitly delegated to the regional offices.

Secure Management Organization/Functions

The centralization of Secure Facilities Management underscores DFY's lack of commitment to regional management. The staff allocated to this unit could have been assigned to the respective regions to perform functions comparable to those they are currently assigned. In fact, one of the staff assigned to supervise secure facilities in Region I (Masten Park) and Region II (Oneida and MacCormick) works out of Rochester. The other secure facilities are supervised by the central office (assignments include one staff person for Harlem Valley and Brookwood-Region III; one staff person for Goshen and Chodikee-Region II; and one staff person for LTTU-Region I and Tryon-Region III).

The need for specialized policies and procedures for secure facilities is not questioned. Yet DFY established the Program Utilization and Management unit to develop policies and procedures with its recent reorganization of Rehabilitation Services.

Scope of Responsibilities. The scope of the Secure Facilities Management unit's responsibility is reflected, to some extent, in the number of facilities and youth population under its direct supervision. As of January 1, 1982, DFY had nine secure facilities operational (MacCormick began receiving commitments during January 1982) with a total operating capacity of 365 beds and a population of 347 youths (see Table 19). This represents an increase of 68.4 percent over DFY's secure population as of January 1, 1981 (see Table 1). Using total population figures for January 1, 1981, the youths in secure facilities account for approximately 19 percent of DFY's residential youth population through Level VI (43 percent through Level IV).

Table 19

Secure Centers Population Count*
July 1981 through January 1, 1982

Facility	Actual Capacity	Population July	August	September	October	November	January
Goshen	72	79	85	85	85	86	87
Brookwood	48	53	55	55	55	55	55
Masten Park	38	40	39	39	40	40	40
Tryon - Girls	28	27	29	29	30	30	27
Bronx - LTTU	17	18	18	18	18	18	18
Oneida	19	18	19	19	19	20	20
Harlem Valley	57	54	60	60	60	60	60
Chodikee	38	--	--	20	30	40	40
Camp MacCormick	48	--	--	--	--	--	--
Total	365	289	305	325	337	349	347

*Figures reflect population for the last week of each month-- July - November 1981, and January 1, 1982.

Source: LCER staff analysis of DFY data.

Functions. To gain a better perspective regarding the nature and scope of Secure Facility Management's relationship with the facilities, LCER staff reviewed monthly reports of the unit's involvement with two of the facilities, Harlem Valley and Brookwood, for June, September, October and November 1981. During the four months each of the facilities was visited 20 times by staff from the unit:

Month	Number of Visits Harlem Valley	Brookwood
June	8	4
September	4	4
October	6	6
November	2	6
Total	20	20

The following are the problems identified by staff of the Secure Facilities Management unit:

Problems	Frequency*
Policies and Procedures	6
Personnel	6
Programs	6
Equipment Needs	6
Interagency Coordination	5
Construction Coordination	3
Critical Incidents	3
Training	3
Planning	1
Food	1
Medical	1

*Based on frequency problem was addressed in report.

These types of issues appear to be of concern to staff within the Secure Facilities Management unit and are similar to the concerns of regional staff dealing with the facilities in Levels II-VII.

Secure Management Issues

Centralization of secure facilities management was a response to a perceived crisis--including issues related to bed space availability, movement of JOs from Spofford secure detention, and the need to control issues related to policies, procedures and programs centrally because of the shift in program emphasis from community based to secure facilities.

DFY's response was to retain management of secure facilities centrally. While this is euphemistically referred to in DFY as "Region V," in fact it is not another region--it was established to insure central control and management of an increasingly important segment of DFY's residential facilities. The importance of this is that it is contrary to the division's pronouncements regarding the need for a regional management system.

DFY's position does not hold up under scrutiny and, taken in tandem with other activities, suggests that DFY is ambivalent toward regionalization of facility management.

DFY's rationale for recentralization of the secure residential facilities was set forth in a letter to the NYS Department of Civil Service dated September 29, 1981. The reasons are:

--New legislation redefining and further restricting the handling of juvenile offenders has created the need for a specialized unit to handle a whole new range of issues;

--The placement, treatment, movement and eventual release of juvenile offenders and youthful offenders (YOs) in programs differ significantly from Title II and III Juvenile Delinquents and Persons in Need of Supervision (PINS); and

--With the increased bed capacity and number of youths being adjudicated as JOs and YOs, the task of developing new programs and helping implement more "security" type programming has increased the need for a separate unit for the management of secure programs.

An analysis of each of these reasons for "recentralization" suggests that they could have been addressed short of central control of secure facilities management.

Movement from Detention. To provide some perspective on the dimensions of the problem of JO movements, the following shows DFY placements of JOs removed from Spofford detention between July and November 1981:

Month	Number of JOs Transferred from Spofford
July	15
August	26
September	21
October	5
November	9
Total	76

There is no need for the central office staff to be involved in preparing JOs for movement out of Spofford. DFY already has the mechanism in place to monitor and expedite the movement of JOs. DFY has established a Spofford Juvenile Justice Unit in New York City. The functions of this unit include providing orientation for youths detained at Spofford and facilitating their movement into DFY residential facilities. Consequently, the movement of juveniles convicted as JOs can be handled by staff that already exists within DFY.

Placement, Treatment and Movement. The placement, treatment and movement of JOs have been identified by DFY as problems unique to secure facilities. These issues provided support for DFY's decision to centralize the function of secure facilities management. However, it is difficult to reconcile DFY's position given the extant YST regional operations and the mandated court placements within secure DFY facilities. YSTs are still responsible for youths assigned to secure facilities. Their responsibility for JOs has not been formally changed within DFY. The major change, as this effects the YST functions, is with regard to JOs who are assigned to a parole officer upon release from secure facilities. However, in practice, and according to personnel within the Secure Facilities Management unit, YSTs are not significantly involved with JOs at secure facilities. Rather, the intake assessment is now handled through the Secure Facilities Management unit. This practice can only serve to further undermine the effectiveness of DFY's regional operation by centralizing this function. As far as movement of youths classified as JOs, this is not a problem as JOs are, by law, confined to secure facilities during their DFY placements. Movement to other levels is prohibited.

New Programs. To rationalize the need for centralization of secure facilities management, because of new program initiatives at secure facilities, encourages the prospects of further exacerbating and confounding DFY's program planning and implementation. The expressed functions of Program Services place the responsibility for program development within the programmatically oriented units within that office.

Suggesting that the Secure Facilities Management Unit should have responsibility for program planning at secure facilities undermines the functions of Program Services. As noted earlier, there is already a need to strengthen the program development role performed by program oriented units within Program Services.

Other Centralization Initiatives

As discussed earlier, other initiatives at the central office served to undermine the regional management structure. These included the functions performed by Program Services staff and the role of the Program Assistance and Review unit.

Maintaining control of secure facilities management in the central office is the most concrete example of DFY's failure to complete implementation of the regional structure. Monitoring and other central office functions related to facility operations serve as illustrations of DFY's lack of commitment to complete regionalization of facility management.

Program Assistance and Review. The functions performed by the Program Assistance and Review unit and the fact that staffing for this unit has increased within the central office provide evidence of DFY's ambivalence toward the concept of regional administration. As noted previously, this unit is monitoring facility activities and does not conduct program reviews of agency-wide programming activities. Its reviews are facility specific and are designed to provide the central office--rather than the regions--with the staff support to monitor activities at the facilities. However, rather than allocate these positions to the regions to enhance their capacity to monitor and supervise, the central office has reinforced its capacity to perform these functions. The result is not only duplication and an uncoordinated approach to facility management but it also undermines the viability of regional administration.

Program Services. The activities of units within Program Services undermine the authority of regional personnel; as noted earlier, these activities include monitoring and supervision of facility programs and direct involvement in program implementation. The functional relationship of Program Services units with the regions and facilities is ambiguous. As a consequence, the manner in which Program Services activities are carried out impairs the role of regional personnel. At the same time, except for training, technical program resources have not been allocated to the regions to carry out effective program supervision and implementation.

Chapter Summary

- DFY undertook a number of major organizational changes from 1976 through 1981. These include establishing a regional management structure in 1976 and a Program Assistance and Review unit in 1978, centralization of a Secure Facilities Management unit, reorganization of Rehabilitative Services into two offices including Program Services and Rehabilitation Operations and establishment of a Program Utilization and Management Assistance unit in 1981.

- There is duplication of effort and functions within DFY in relation to supervising and monitoring activities within DFY's residential facilities. At the central office this includes a number of units with programmatic responsibility that duplicate functions assigned to regional and facility personnel--including program monitoring and supervision and program implementation.

● The Program Assistance and Review unit has not fulfilled its role to undertake agency-wide program reviews. Rather, this unit performs functions that duplicate those performed by other DFY staff, including in-depth facility reviews of issues routinely addressed by DFY regional/district staff and Program Services personnel.

● DFY has failed to define the function of Program Services staff units--particularly with respect to their programmatic relationship to the facilities. As a result, Program Services staff operate as independent and autonomous units, and relations and responsibilities between the central staff units and facilities vary. This tends to undermine the integrity of the regional structure with respect to program implementation and supervision of facilities and to diffuse responsibility and, thereby, make it difficult to define accountability.

● While DFY has developed material to clarify the roles and responsibilities of Program Services staff units, these materials fall short of clarifying responsibilities in relation to procedural issues. What is lacking are specific procedures regarding contacts with facilities and the manner in which communication and coordination are to be effected.

● DFY has not established formal procedures to ensure effective communications of central staff involvement with facilities. The implications are important in the context of DFY operations and organization since central staff units are exercising responsibilities that are at least quasi-supervisory in nature. The absence of procedures to ensure effective communication in this context leads to contradictory directions, friction in the development and implementation of programs and a general vacuum within the agency concerning who is doing what and within the framework of which policy.

● There is little evidence of overall planning within the agency in monitoring the frequency of central staff visits to facilities. Of the visits to facilities by Program Services staff during 1981, 57.7 percent were within Region III-- whereas slightly more than 37 percent of the facility population was in that region as of June 1, 1981.

● DFY stressed the need for a regional structure to manage its residential facilities and as a long range strategy to integrate rehabilitation services and local assistance programs. However, there is evidence that DFY is not fulfilling its commitment to a regional management system and has moved to recentralize functions and bypass the regional organization.

● DFY's rationale for centralizing the management of secure facilities is based more on accomodating the division's movements to recentralize facility management than because of any problem resulting from the expansion of the secure facilties program. DFY has the structure (regional organization) or the staff (Spofford Secure Detention Unit and Program Utilization and Management) to perform the functions assigned to the Secure Facilities Management Unit. What is lacking is a commitment by DFY to make appropriate staffing allocations to the regions to manage secure facilities operations.

● Functions performed by various central DFY staff units provide further evidence of DFY's lack of commitment to regional management. These include functions performed by Program Service staff which have the effect of undermining the role assigned to regional staff concerning program supervision and implementation and the monitoring functions performed through PAR. While the former is a result of the lack of central management control and direction and, apparently inadvertent, the functions assigned to PAR deliberately contradict DFY's pronouncements regarding the supervisory/management role assigned to the regions.

FOOTNOTES

I Background

1. Executive Law, Section 519.

III DFY Programs

1. DFY Memorandum dated October 9, 1978 from Director of Counseling to Deputy Director of Rehabilitation Services.
2. Morales v. Turman, U.S. District Court Eastern District of Texas, Civil Action No. 1948, September 3, 1974. Cited in "Project 1975: Educational Neglect" National Education Association, Washington, D.C., 1974, p. 32.
3. Ibid., p. 52.
4. DFY, Office of Educational Services, Policy and Procedures, (draft) 1981.
5. DFY, Education Programming, undated paper, circa. 1979.
6. State Education Department, Bureau of School and Categorical Programs Evaluation, Evaluation Newsletter, Volume 1, Number 5, May 1981.
7. Jane L. David and Sol H. Pelavin, "A Reanalysis of Data Final Report," Research on the Effectiveness of Compensatory Education Programs, Stanford Research Institute, September 1977.
8. Ibid.
9. DFY, Effectiveness of Division Employment and Training Programs: An Update of the Third Interim Report, February 28, 1980.
10. DFY, Youth Policy and Procedures Manual, Section 3243, October 31, 1978, p. 2.
11. DFY, Activity Report and Work Plan of the Office of Health Services, August 1980, p. 1.
12. DFY, Office of Health Services Memo-"Medication Study," August 17, 1979.
13. U.S. General Accounting Office, Learning Disabilities: The Link To Delinquency Should Be Determined, But Schools Should Do More Now, Report to Congress, GGD-76-97, March 1977.
14. DFY, Office of Education, staff paper, June 1981, p. 2.
15. NYS, Office of Mental Health, Manual-OMH Mobile Mental Health Teams Serving The DFY Residents, Appendix II, April 1978.
16. DFY, Individualized Learning Center First Phase Evaluation Report, November 1978.
17. DFY staff paper, op. cit. p. 1.

IV DFY Organization and Management

1. DFY, 1980-81 Budget Request, State Purposes, p. 17.
2. Ibid.
3. Letter dated September 28, 1976 from DFY to New York State Department of Civil Service.
4. DFY, 1980-81 Budget Request, p. 17.
5. Letter dated September 28, 1976 from DFY to New York State Department of Civil Service.
6. DFY, The Division for Youth--An Agency in Transition, An Issue Paper, November 1978.
7. DFY, Memorandum dated February 14, 1980, from: Deputy Director, Rehabilitative Services; to: DFY Distribution.
8. Letter dated September 29, 1981 from DFY to New York State Department of Civil Service.
9. DFY, Management Improvement Study, March 1981, p. 14.
10. DFY, 1980-81 Budget Request, p. 18.
11. Ibid., p. 19.
12. Letter dated March 30, 1981 from DFY to New York State Department of Civil Service.
13. DFY, Memorandum dated May 4, 1978 from Deputy Director, Rehabilitation Services to Rehabilitative Services Distribution.

APPENDIX A

LIST OF INTERVIEWS AND CONTACTS

NYS Division for Youth
Central Office

Director, DFY

Program Services

Deputy Director Program Services.

Education
Director, Education Programs; Research Scientist; Title I Coordinator; Math Education Coordinator; Special Education Coordinator.

Employment
Director, Youth Employment Services; Research Scientist; Assistant Director (Operations); Youth Employment Project Coordinator; Youth Services Planner I; Youth Employment Program Specialist; Supervisor Youth Employment; Education Consultant.

Health Services
Director, Division for Youth Health Services.

Counseling
Project Director, Juvenile Contact Specialist.

Staff Development and Training
Director of Training, Staff Planning and Program Initiatives Coordinator.

Rehabilitation Operations

Deputy Director, Rehabilitation Operations; Assistant Deputy Director.

Program Utilization and Management Assistance
Director; Director, Program Operations Analysis.

Secure Facilities Management Unit
Director, Assistant Director, Field Supervisor.

Administration

Director, Program Analysis and Informational Services; Director, Analysis Group; Research Scientist II; Assistant Research Scientist; Director of Personnel; Supervisor of Fiscal Control; Director of Facility Planning and Development; Administrative Director, Youth Support, Inc.

Regional Offices

Region I: Regional Director, Youth Rehabilitation Services.
Region II: Regional Director, Youth Rehabilitation Services; District Supervisor, Youth Rehabilitation Services; Supervising Youth Division Counselor; Youth Division Counselor.
Region III: Regional Director, Youth Rehabilitation Services.
Region IV: Regional Director, Youth Rehabilitation Services; Assistant Regional Administrator; Senior Youth Division Counselor; Director of Central Services.

Facilities

Brookwood
Youth Facility Director III, Senior Youth Division Counselor, Psychologist II, Education Supervisor, Teacher IV, Vocational Instructor IV.

Highland Center
Youth Facility Director II, Education Supervisor, Vocational Instructor IV.

Highland Secure Center
Youth Facility Director III.

Nueva Vista
Youth Facility Director II, Teacher IV, Vocational Instructor IV.

Tryon Boys
Superintendent, Assistant Superintendent, Education Supervisor, Teacher IV.

Tryon Girls
DFY Rehabilitation Coordinator.

Other Contacts

New York City Department of Juvenile Justice--Deputy Commissioner, Counsel.

U.S. Department of Justice
Office of Juvenile Justice Delinquency Prevention--Program Analyst.

National Institute of Juvenile Justice--Research Scientist.

New York State Division of Criminal Justice Services--Deputy Commissioner, Identification and Data Systems.

APPENDIX B

MEAN YEARS BEHIND IN GRADE LEVEL
1980-81 SCHOOL YEAR

	Facility	Reading[a]	Number of Youths Screened	Math	Number of Youths Screened[b]
Home	1 Brooklyn	6.4	16	4.2	20
Home	2 Buffalo	3.9	8	2.9	7
Home	3 Syracuse	1.4	13	2.4	13
Home	4 Rochester	1.9	33	2.6	39
Home	5 Bronx	4.9	40	4.8	47
Home	7 Nassau	4.3	10	4.5	9
Home	8 Buffalo	NA	NA	1.9	23
Home	9 Staten Island	3.1	29	3.6	30
Home	10 Westchester	4.1	9	3.8	13
Home	11 Suffolk	3.3	38	4.5	37
Home	14 Albany	2.2	13	3.1	12
Home	15 Rochester	3.4	28	3.4	31
Home	16 Binghamton	2.7	35	3.3	35
Home	17 Poughkeepsie	1.2	14	3.3	18
Home	18 New Rochelle	0.3	9	3.5	12
Home	19 Utica	3.6	7	3.0	8
Home	20 Fulton	3.7	9	3.0	9
Home	22 Troy	3.6	10	2.5	19
Home	23 Schenectady	1.8	25	2.5	27
Home	24 Elmira	3.1	13	2.9	13
Home	25 Dutchess	2.5	18	2.0	18
Home	26 Monticello	1.2	12	2.5	12
Home	28 Glens Falls	0.8	6	2.8	9
Home	29 Jamestown	1.1	12	2.3	12
Home	30 Kingston	3.0	14	3.1	15
Contract	1 Niagara	2.7	6	2.6	6
Contract	2 Niagara	(0.7)	10	0.6	10
Weighted Average/Totals		2.9	437	3.2	504
	Center				
	2	(0.1)	1	4.6	15
	3	4.4	52	4.4	48
	4	3.3	26	3.8	39
	5	2.5	31	3.4	49
	6	4.1	30	3.9	50
Buffalo Urban Center		1.3	53	2.5	53
Weighted Average/Totals		3.0	193	3.6	254

[a]Screening Test-Woodcock.
[b]Screening Test - Keymath.

NA-Not Available.

Source: DFY.

81

APPENDIX C

DFY EMPLOYMENT AND VOCATIONAL EDUCATION FUNDING BY SOURCE, 1978-1982

Table C-1

DFY Community Based Employment Programs
Funded for Years 1978-1982

Program	Areas Served	Grants	Funding Source	Grant Status
Air Force Base	Utica/Plattsburgh	$ 212,830	Federal	Ongoing
Auto Mechanics Training-UAW	Brooklyn	958,392	Federal	Ongoing
Bedford-Stuyvesant Restoration	Bedford-Stuyvesant	90,000	Federal	Expired
Buffalo Health Service (St. Augustine Center)	Buffalo	75,000	Federal	Expired
Career Building (Queens Urban League)	Queens	181,029	Federal	Expired
Employment Services Project	Westchester	221,000	Federal	Expired
Employability Incentive	Albany	7,173	Federal	Expired
In-School	NYC	609,621	Federal	Expired
Career Training In and Out of School	NYC	115,000	State	Ongoing
Job Development	NYC	309,323	Federal	Expired
Job Development	Upstate	641,827	Federal	Expired
Individualized Work Enhancement	Upstate	845,954	Federal	Ongoing
Maintenance Team	Upstate	445,547	Federal/State	Ongoing
Maintenance Team	Upstate and NYC	203,798	Federal	Ongoing
People Development Corporation	Bronx	168,000	Federal	Expired
Preparation for Employment	Statewide	150,951	Federal	Ongoing
Probation Employment Program	Statewide	3,182,381	Federal	Ongoing
Southern Tier Employment	Elmira	53,152	Federal	Ongoing
Targeted Cooperative Education	Buffalo	198,976	Federal	Expired
Targeted Cooperative Education	Oneida	198,442	Federal	Expired
Volunteers for Youth	Binghamton	121,980	Federal	Ongoing
Youth Summer Employment-1980	Statewide	749,939	Federal	Expired
Total		$9,740,315		

Source: DFY Employment Unit.

Table C-2

Available Funding of DFY Residential Facility
Vocational Education Programs
1978-82

Program	Contract Period	Funding Source[a]	Funding Level
Camps	1/79-3/80	Federal - CC	$664,373[b]
	4/80-12/80	Federal - SED	648,576[b]
	1/81-3/81	Federal - CC	NA
	4/81-3/82	Federal - DCJS	309,615
	4/81-3/82	State - DFY	366,400
STARTS	4/79-3/80	Federal - CC	90,493
	5/80-9/81	Federal - DOL	258,000
	10/81-3/82	Federal - SED	226,000
	10/81-3/82	State - DFY	63,600
Training Schools	8/78-12/79	Federal - DOL	405,654
	1/80-2/81	Federal - DOL	629,671
	2/81-3/81	Federal - DCJS	NA
	4/81-3/82	State - DFY	506,300
Secure Centers	8/78-3/81	Federal - CC	663,884
	4/81-3/82	State - DFY	479,500
Total State			$1,415,800
Total Federal			3,896,266
Grand Total			$5,312,066

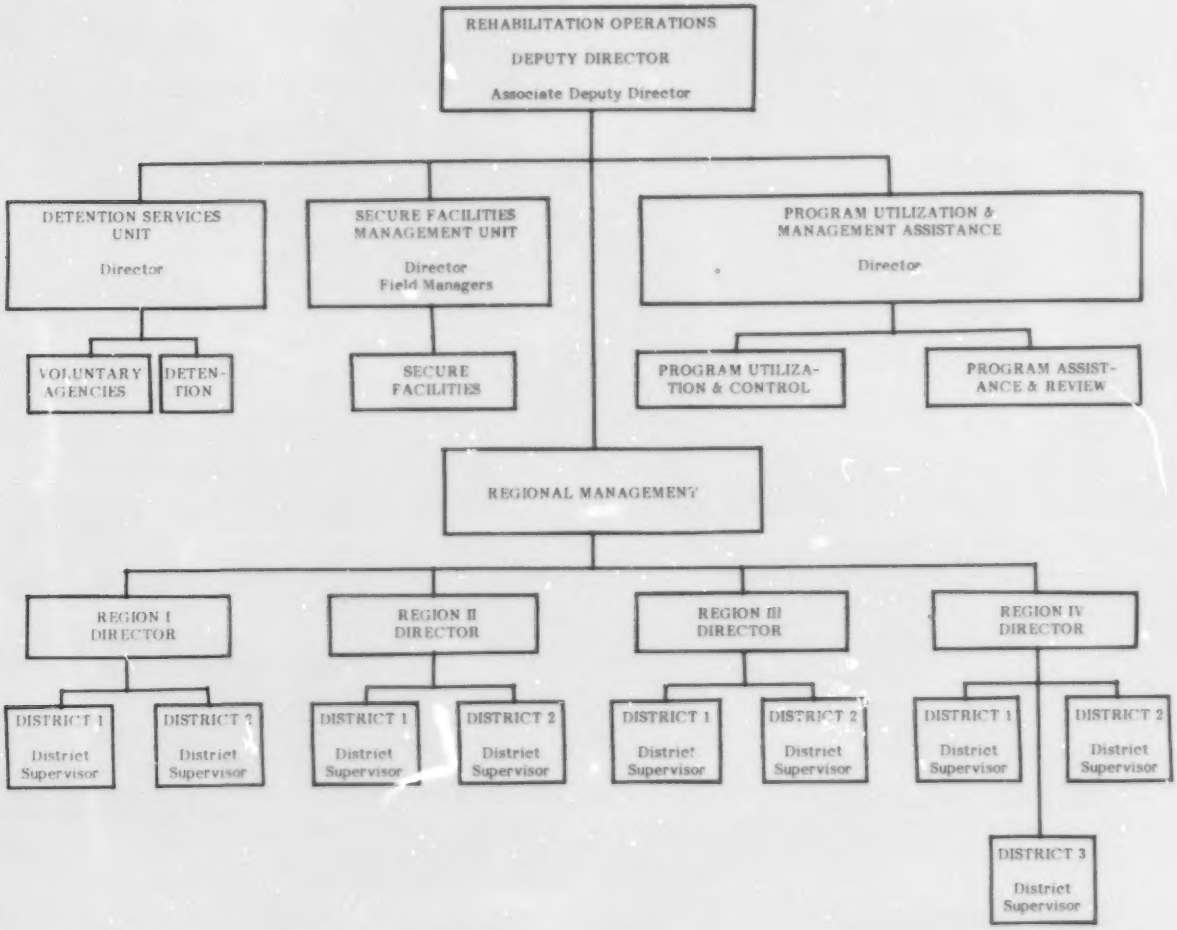
NA - Not Available

[a]CC - Countercyclical.
SED - State Education Department Grant.
DCJS - State Division of Criminal Justice Services Grant.
DOL - State Department of Labor Grant.
[b]A portion of these funds also went to secure centers.

Source: DFY Employment Unit.

APPENDIX D

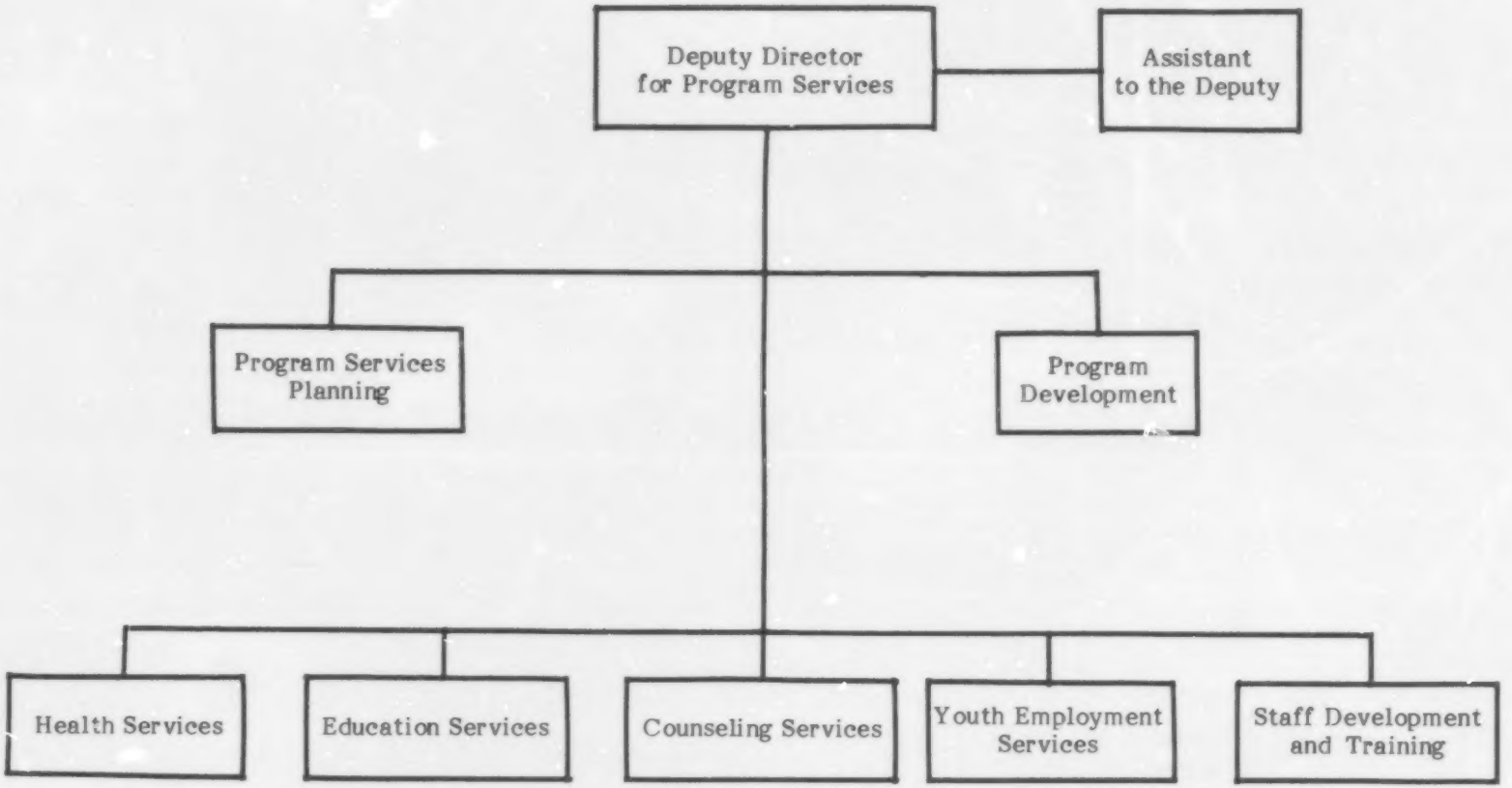
ORGANIZATION-DFY REHABILITATION OPERATIONS 1981



Source: DFY.

APPENDIX E

ORGANIZATION–OFFICE OF DFY PROGRAM SERVICES 1981



Source: DFY.

APPENDIX F

AGENCY RESPONSE

FRANK A. HALL
DIRECTOR

NEW YORK STATE EXECUTIVE DEPARTMENT
DIVISION FOR YOUTH
84 HOLLAND AVENUE
ALBANY, NEW YORK 12208

July 26, 1982

Mr. Sanford Russell
Director
Legislative Commission on Expenditure
Review
111 Washington Avenue
Albany, New York 11210

COPY

Dear Mr. Russell:

We take this opportunity to acknowledge and respond to the two volume audit conducted by your office on Division for Youth residential programs. We also wish to express our appreciation for the extension granted in our submission of responses to these reports following our joint staff meeting on the substance of the report dealing with program impact. However, it was our understanding at that meeting that conclusions presented in the impact study, which we considered misleading, would be revised and refocused to conclusions that were more limited to the scope of the data. Unfortunately, we find that the impact study and its conclusions are essentially unchanged in substance. As a result, we must object to the overall thrust and direction of both the impact study as well as its companion study of program and management because the unsubstantiated conclusion of the impact study colors both volumes of this audit.

Detailed responses are enclosed which address our concerns in depth. (See New York State Division for Youth, Response to Reports by the Legislative Commission on Expenditure Review: Volume I, "Management of Residential Facilities for Youths;" and Volume II, "A Study of Impact - Placement of Youths in Residential Facilities.")* Those concerns may be outlined around the following areas:

1. Misleading Statements About Recidivism and Program Impact.

Our most serious reservation concerning the two volume audit lies with the unsupported conclusions drawn in the Volume II impact study which purport to demonstrate that similar clients are randomly placed in both community based and non-community based facilities of the Division for Youth, and when so placed, these cases demonstrate no differences in subsequent arrest

*Note: The report titles have been changed to: Management of Youth Rehabilitation Programs and Impact of Youth Rehabilitation Programs respectively.

recidivism. The conclusions drawn from these unfounded premises are that placements should be limited to the lowest cost option, that is, the open, community based facilities.

As we discussed with you and your staff on previous meetings, we find these statements false and misleading. First, this agency adheres to the law and to court decisions concerning various degrees of security in placing cases according to the severity of crime and related behavior. Secondly, we take issue with the use of data and its calculation which allowed your study to misinterpret trends without regard to missing data, which overlooked patterns and directions of program exposure and which simplistically grouped unlike cases together based on limited classificatory information, when, in fact, much more information was available to your staff concerning distinctions among DFY clients. These concerns are described in our response to Volume II.

We have already offered you an alternative explanation to any seemingly similar outcomes in recidivism between the two program types: If roughly similar recidivism rates obtain to both types of programs, it should be seen as a positive contribution of DFY programs in holding down a known high rate of potential recidivism among its high risk cases to where that recidivism was roughly equal to that of low risk cases.

2. Issues Related to Program Costs and Expenditures.

We indicate some exceptions to statements about cost increases when these statements fail to note the stringent cost control program carried out within DFY and the no-growth budgets of the current Fiscal Year. DFY has essentially expanded, developed and converted programs following legal mandates for such additional programs -- allwith minimal impact on this agency's overall budget. Most of the program enhancements were accomplished by reallocation of resources and overall improvements in efficiency.

3. Issues Related to Program Services and their Effects

We agree with the general findings of the program audit which demonstrate positive contributions by DFY programs to the improvement and development of youth in its care. However, we question statements which claim that the levels of accomplishment in education and vocational readiness are sub-standard when those statements are not qualified by indicating the extremely deprived and deficient condition of most DFY clients at intake. DFY programs deal with remediation in all aspects of social functioning -- education, vocational readiness, social attitudes, emotional development and other critical areas of adolescent life. We feel that proper regard should be afforded to our program accomplishments among this extremely difficult clientele. These accomplishments are due to dedicated performance by DFY program staffs who daily handle some of the most difficult cases in the country.

4. Issues Related to Management Improvement

The general thrust of the management aspects of the audit was that DFY progress in managerial improvement was interpreted by your auditors as a retreat from an earlier agency position on regionalization. We indicate in our response that we continually revise and improve management of this agency in response to a long pattern of changes in mission. A reasonable time lag is to be expected following any radical mission change. Your study spanned the early period of our organizational response to the Juvenile Offender laws -- one of the most radical points of departure for this agency's mission since its inception.

Other than matters related to time lag in organizational response, we note that our approach to regionalization is to determine which matters should best be left to regional management and which issues require central direction. This matrix approach to field management should be measured not only on the degree to which it regionalizes functions, but rather which functions are appropriately regionalized and which get uniform system-wide execution.

To carry out this dual approach to management, we have enhanced many functions in regional administration, while simultaneously focusing on uniform standards and policies for key functions throughout the agency.

5. Summary of Agency Response

We have indicated in our detailed response that many issues raised by the audits should prove constructive in directing agency attention to these matters. However, many of the positive benefits of the audits are vitiated due to the unsupported and erroneous conclusions regarding the supposed similarity of clients, programs and recidivism.

We have attached three sets of forms and descriptions which address some of the key issues raised in your two volume audit. These are:

1. The Intake Assessment package;
2. Problem Oriented Service Planning (POSP), and
3. Rehabilitative Services -- Program Level Summary.

The Intake Assessment package here appended demonstrates the degree of detail to which intake workers investigate and classify cases. More than 60 different items of current and past background are gathered in an interview and document process in order to guide placement. When LCER staff reviewed cases in the impact study, this system had recently been put into effect, with an acknowledged degree of uneven coverage. In recent times, most of

these reporting defects have been completely cleared up, giving workers a keen sense of the varied differences and needs among incoming cases. The LCER impact study seemed to show that similar cases were placed across different types of programs. When all the accompanying Intake Assessment data is added, it is clear that cases are placed differently because they are, in fact, quite different.

Problem Oriented Service Plan is a device used at this agency which we adapted from a medical model in the State of Vermont. This allows us to document our intentions for service with respect to each case and to review our progress toward making those stated goals on an interim as well as final basis. Placement and transfers are highly related to the expressed needs and progress of cases as recorded in POSP.

Program Level Summary is attached here to demonstrate that there is, in fact, a differentiation of programs among the various DFY residential programs and that the differences are programmatic as well as security. This agency intends to continue to differentiate among programs, concentrating scarce resources in selected facilities which would be used by clients with demonstrated needs. While we agree that more program description and differentiation is necessary among DFY residential programs, we also take issue with the statement that there is no description at all, other than degrees of security. The attached program level description demonstrates those differences in program and in clientele for whom the various programs are intended.

As discussed in the response volumes, we generally agree and find helpful the many program observations, and have taken steps to continue investigations and planning around several of the key issues identified in your audit. Some of these issues are: monitoring, community based programs, development of specific counseling modalities, and the development of explicit and unambiguous relations between central management and the field regions. Your observations in these areas were generally accurate, although we believe that your overlying concern with similarity of clients and programs was excessive.

We appreciate the extremely diligent efforts of your staff and will continue to cooperate with the Legislative Commission in an attempt to improve services to youth throughout New York State.

Sincerely,

Frank A. Hall
Director

Enc.

cc: Mark Lawton, Division of the Budget
Frank Jasmine, Governor's Office

APPENDIX G

LCER RESPONSE TO THE DIVISION FOR YOUTH

DFY's response to LCER's audit, Management of Youth Rehabilitation Programs-(Volume I), raised three major issues. These include the following:

--That the conclusions reached in LCER's companion report, Impact of Youth Rehabilitation Programs (Volume II) and referenced in Volume I, were inaccurate primarily because of problems in the audit methodology;

--That LCER understated the contribution of DFY programs to the improvement and development of youths in its care given "the extremely deprived and deficient condition of most DFY clients at intake;" and

--That LCER's analyses of DFY's organization and management of its rehabilitation services did not take into account the time lag required for an organization to adjust to a "radical mission response" and that regionalization should be based on an appropriate mix of functions including those which should be regionalized and those which need uniform system-wide execution (centralization).

LCER staff acknowledges that youths in DFY's care generally consist of disadvantaged youths as reflected by their needs for remedial education and other rehabilitation services. Given the problems of these youths, it is important that DFY be constantly alert to opportunities for enhancing its knowledge of effective treatment approaches.

DFY, as well as the New York State Legislature, can use the information contained in Volumes I and II for program and policy decisions. Many of the issues raised by DFY, particularly with reference to Volume II, are related to questions of audit methodology. However, LCER does not agree with DFY's concerns regarding methodology. DFY's response chooses to ignore the programmatic issues identified by LCER. This is unfortunate as the issues are critical to the achievement of DFY's goals of youth rehabilitation. While LCER staff does not suggest that the impact study, for example, provides definitive answers to questions pertaining to the design of DFY's residential program, it contains information that should be given serious consideration by DFY's policy makers. Volume I also identifies a number of organization and management problems that need to be addressed if DFY is to make effective use of its resources.

Organization and Management

LCER is cognizant of the dramatic changes that have taken place in the juvenile justice system and which, in turn, have impacted on DFY's role. There is merit in DFY's arguments that such changes cannot be reflected in an organizational model immediately but must be absorbed over time. In fact, DFY has conceded that certain issues raised by LCER are legitimate concerns which have prompted DFY to investigate various problem areas identified in the audit. However, DFY's response does not recognize the ambiguity of its regional management system. This ambiguity is reflected in many of DFY's organizational initiatives--including functions performed by PAR; the organization and responsibilities of Secure Facilities Management; and the manner in which Program

Services staff relate to the facilities. It is not a question of using central staff to establish standards and control since the issues relate to duplication, conflicting sources of authority, lack of control (as reflected in the autonomy of various central office units) and the lack of operating standards for central staffs.

DFY established the regional organization in 1976. Many of its organization and management initiatives since then have diluted the authority of the regional staffs and resulted in the problems discussed in the audit. DFY's reference to a period of organizational adjustment and the need for an appropriate mix of central control and decentralization in a regional framework are not relevant to the issues raised by LCER.

Program Implications of Impact Study

DFY's major objections to the program implications, as referenced in Volume I, of the impact study (Volume II) include the following:

--Classification of youths--DFY suggests that LCER's classifications of youths, e.g., as misdemeanants and felons, are too broad and do not take into consideration the seriousness of the youths offense and other important background characteristics used by DFY in its placement decisions;

--Program Exposure--DFY objects to LCER's conceptualization of program exposure as the proportion of time spent in community and non-community based facilities. DFY suggests that LCER did not take into account movement patterns of youths--particularly with respect to the length of time spent in different types of facilities and the direction and patterns of transfers among facilities; and

--Interpretation of Impact--DFY interprets similarity of outcome among high risk youths in non-community based facilities with the low risk youths in community based facilities as an indication of successful treatment for high risk youths.

Classification of Youths

Contrary to DFY's assertion, LCER did not group "unlike cases together, based on limited classificatory information." DFY's arguments rest on its unsupported assumption that classifying youths by their specific offenses would have been a more appropriate scheme. There are a number of problems with this proposal. First, DFY's argument assumes that there is a means of classifying the "seriousness" of the offense. Among felonies, which offenses, e.g., rape or armed robbery, are the "most" serious? Secondly, such a discrete breakdown would have reduced the number of cases in a cell to very small numbers--where upon DFY might have had further problems with the methodology. The use of adjudication status and misdemeanor/felony is an appropriate classification for the purposes of this study. Taken along with the other background characteristics (selected based on tests of statistical significance from among 89 background characteristics maintained by DFY) this aspect of the study is methodologically sound.

Patterns and Direction of Program Exposure

From DFY's standpoint, this issue concerns the movements of youths to different levels of facilities within DFY. Generally DFY maintains that youths with behavioral

problems move up the system (to higher degrees of security) while those with discernible patterns of improved behavior move down the system (to less secure facilities). However, DFY has not developed any explicit policies for the movement of youths. Such movements are dictated by a number of factors including bed space availability as well as behavioral patterns. Interpretation of a behavioral problem is at the discretion of many personnel within DFY including facility and YST staff. There are no written policies to ensure that such discretionary authority is applied within established guidelines to achieve uniformity of criteria applied to such youths. The "patterns" of movement are so loosely defined and controlled that DFY cannot claim that a "system" exists. Furthermore, DFY has made efforts over the past two years to define movement patterns within some rational classification and has failed to do so. Finally, LCER did use a system of classifying youths program exposure on the basis of proportion of time spent in community and non-community based programs. Contrary to DFY's assertion, LCER tested the importance of length of time in programs and found it related significantly only to the employment period outcome measure (see Table C-3 of Volume II).

Interpretation of Impact

DFY's interpretation of the LCER study results as indicating success in controlling the post-program behavior of "high risk" youths in the more secure facilities to the level of the "low risk" youths in community based facilities is not correct. LCER compared youths with similar risks (high or low) who had different types of program exposure (proportion of time in community and non-community based facilities). The analyses showed that DFY made the correct placement decisions when it placed youths with prior felonies in secure facilities because other youths with prior felonies and similar background characteristics, placed in community based facilities had a higher recidivism rate than those in the secure facilities. At the same time the data show that the outcomes for other types of youths with comparable background characteristics were similar regardless of the type of program exposure--indicating inappropriate placement decisions.

The controls used by LCER were for youths in the two program types (non-community and community based programs) with comparable background characteristics (the background characteristics were selected from 89 background variables based on their statistically significant relationship to outcome measures). Consequently, it is not, as DFY has stated, a case of comparing dissimilar youths. In fact, similar youths were compared not only by their criminal histories but also by background characteristics related to outcome measures.

Conclusions

DFY's response does not address the important substantive issues discussed in LCER's audit report. These include both issues related to organization and management as well as the policy implications related to the effectiveness of DFY's placement decisions and the use of non-community and community based facilities. Reference to the conclusions of the impact study (Volume II) in Volume I were appropriate as there are important policy questions related to the use of DFY facilities that need to be addressed.

Note: DFY's response to Volume I and LCER's comments are available for review in LCER's office.

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PROGRAM AUDITS OF THE
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Manpower Training in New York State, February 16, 1971.*

Narcotic Drug Control in New York State, April 7, 1971.*

Fish and Wildlife Research in New York State, June 24, 1971.

Marital Conciliation in New York State Supreme Court, August 16, 1971.

Construction of Dormitories and Other University Facilities, December 1, 1971.

Office Space for New York State, January 17, 1972.

State Supplied Housing for Employees, February 11, 1972.

Middle Income Subsidized Housing in New York State, February 29, 1972.

New York State Criminal Justice Information System, March 17, 1972

New York State Division For Youth Programs, April 21, 1972.

Snow and Ice Control in New York State, May 31, 1972.

Urban Education Evaluation Reports for the Legislature, June 30, 1972.

The Role of the Design and Construction Group in the New York State Construction Program, July 7, 1972.

Consumer Food Health Protection Services, August 17, 1972.

Milk Consumer Protection Programs, September 15, 1972.

State University Construction Fund Program, October 5, 1972.*

Surplus and Unused Land in New York State, January 15, 1973.

Evaluation of Two Year Public College Trends, 1966-1971, April 2, 1973.

Educational Television in New York State, July 6, 1973.

Construction of Mental Hygiene Facilities, October 1, 1973.

Community Mental Health Services, October 10, 1973.

The Acquisition and Construction of Drug Abuse Treatment Facilities, January 18, 1974.

State University Health Science Programs, January 24, 1974.

Day Care of Children, February 14, 1974.

State Aid to Libraries, March 6, 1974.

Health Insurance For Government Employees, May 30, 1974.

Civil Service Recruitment of State Professional Personnel, June 17, 1974.

Retail Services Within State Agencies, September 10, 1974.

Nuclear Development and Radiation Control, October 1, 1974.

College for the Disadvantaged, October 15, 1974.

Driver Licensing and Control Programs, October 20, 1974.

State Historic Preservation Programs, November 1, 1974.

Industrial Development in New York State, November 25, 1974.

Programs for the Aged, March 31, 1975.

New York State Fair, April 15, 1975.

New York State Parkways, April 21, 1975.

Tri-State Regional Planning Commission Programs, May 5, 1975.

Foster Care For Children, May 29, 1975.

Disadvantaged Students in Public Two-Year Colleges, July 25, 1975.

Human Rights Programs in New York State, August 18, 1975.

Patients Released From State Psychiatric Centers, August 29, 1975.*

Financial Aid to Crime Victims, October 31, 1975.

Persons Released From State Developmental Centers, December 16, 1975.

New York State Job Placement Programs, December 30, 1975.

Pre-Kindergarten Programs, December 31, 1975.*

DOT Real Estate Program, April 15, 1976.

Solid Waste Management in New York State, May 20, 1976.

Boards of Cooperative Educational Services Programs, June 28, 1976.

Boards of Cooperative Educational Services Finances, June 30, 1976.

Workmen's Compensation Program for State Employees, July 30, 1976.*

Public Pension Fund Regulation, October 29, 1976.

Computers in New York State Government, December 1, 1976.

Health Planning in New York State, January 3, 1977.*

The Optional Service Charge Law, March 11, 1977.

Immunization of Children, May 27, 1977.

State Parks and Recreation Program, October 11, 1977.

State Travel Costs, December 15, 1977.

Venereal Disease Control, December 16, 1977.

State Environmental Permits, December 19, 1977.

Pupil Transportation Programs, January 30, 1978.*

Housing Maintenance Code Enforcement in New York City, March 31, 1978.

Vacation Credit Exchange, June 16, 1978.

Adirondack Park Planning and Regulation, July 31, 1978.

School Food Programs, August 7, 1978.

SUNY Developing and Nontraditional Colleges, September 26, 1978.

Newborn Metabolic Screening Program, October 31, 1978.

Fiscal Effect of State School Mandates, December 20, 1978.

School District Budget Voting and Contingency Budgeting, December 26, 1978.

State Aid for Operating Sewage Treatment Plants, April 16, 1979.

Crime Victims Compensation Program, April 23, 1979.

Drinking Driver Program, May 15, 1979.

Unemployment Insurance for State Employees, July 20, 1979.

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CETA Programs in New York State, August 24, 1979.

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School District Committees on the Handicapped, April 15, 1980.

Delinquency Prevention and Youth Development Programs, May 2, 1980.

Energy Use in State Facilities, June 11, 1980.

Occupational Education in Secondary Schools, July 8, 1980.

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Runaway and Homeless Youth, July 15, 1981

State Mandates to Counties, August 14, 1981.

Control of the State Telephone System, August 21, 1981.

Hospital and Nursing Homes Management Fund, October 5, 1981.

Methadone Program, December 21, 1981.

Regulation of Automotive Repair Shops, December 24, 1981.

School District Cash Management, December 28, 1981.

Pupils With Special Educational Needs, April 30, 1982.

State Division of Probation Programs, June 10, 1982.

State Physician Shortage-Maldistribution Programs, July 16, 1982

Commission on Cable Television, September 15, 1982

Management of Youth Rehabilitation Programs, October 29, 1982

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